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A NATIONWIDE SURVEY OF LAW ENFORCEMENT CRIMINAL JUSTICE PERSONNEL NEEDS AND RESOURCES

VOLUME VIII - PART 1 of 3

FIELD ANALYSIS OF OCCUPATIONAL REQUIREMENTS
AND PERSONNEL MANAGEMENT
IN CRIMINAL JUSTICE AGENCIES

FINAL REPORT

Prepared for
Department of Justice
Law Enforcement Assistance Administration

by
National Planning Association,
American Institutes for Research,
and
Bureau of Social Science Research
Washington, D.C.

Under Contract No. J-LEAA-035-74

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PREFACE

The law enforcement/criminal justice system is comprised of three distinct, very large and very complex components—law enforcement, judicial process, and corrections. Each component represents a widely accepted and respected segment of society whose influence touches every American citizen. More directly, each component of the LE/CJ system encompasses many diverse career fields and occupational specialties employing many thousands of people. It is the abilities and dedication of these workers and the quality of the administrative and operational organization under which they perform which ultimately define how effectively the LE/CJ system fulfills the responsibilities assigned it by society.

The general aim of this volume is to present the results of a study undertaken to identify and define some of the major factors which influence how and
what these workers perform. More specifically, the study addressed salient personnel management and organization issues and the basic occupational requirements
associated with selected LE/CJ positions. The study discussed herein was a
subsidiary effort of the National Manpower Survey, a collaborative and much
broader undertaking of three research organizations to address the nationwide
personnel, training and education needs of the LE/CJ system.

This volume specifically describes the field analysis of occupational requirements and personnel management in criminal justice agencies conducted by the American Institutes for Research. The nucleus of the field analysis consisted of collecting data at a sample of criminal justice headquarters, departments, and agencies and from hundreds of incumbents in key occupations. The

size and complexity of the field analysis program necessitated the individual and combined efforts of 30 full-time research staff, part-time data collectors, and consultants. Nine AIR research staff members have contributed to this volume.

This volume can be of use to federal, local, and regional planners responsible for assessing manpower and training needs and for those responsible for determining and implementing personnel management and training policy.

It can also be of interest and use to operating agencies which must deal on a working level with the issues and occupations studied here. Because so many personnel and training policies and issues emanate from the way work is organized and staffed, the occupational analysis methodology and findings should be of particular interest to these agencies. Never before has there been such a nationwide and in-depth task analysis of so many key LE/CJ occupations. Task by task information, including skill/knowledge requirements, is of very practical value at all levels in examining and changing the way its work is structured into positions and the standards and content established for hiring and training.

The volume basically has been organized by LE/CJ sector to facilitate use. Part I will be of particular interest to law enforcement, Part 2 to corrections, and Part 3 to judicial process. Chapters I, II, and X, and the Appendix are of general interest to all sectors.

ACKNOWLEDGEMENTS

To conduct a field analysis of occupational requirements and personnel management of the scope and complexity required by the National Manpower Survey, the inputs and cooperation of many LE/CJ professionals are required. Over the more than two years of the field analysis program, the research staff of the American Institutes for Research were the beneficiaries of the good will and cooperative spirit given by many hundreds of such professionals in the 10 states providing the field data and the 3 states participating in the field tests of data instruments and procedures. Given the busy schedule and the daily pressures of the LE/CJ participants in the field program, the time and effort they gave to us is appreciated.

We wish to thank and recognize the contribution of the many police chiefs, detectives, patrol officers, supervisors, and other key occupation staff of the various law enforcement agencies who allowed us to collect information, meet with them, and tour their facilities.

In the judicial process sectors, we gratefully acknowledge the help and support of the many judges, court administrators, prosecutors, and defenders who willingly gave their time to answer questions and provide us with data.

We also wish to thank the various executives of the adult and juvenile departments of corrections for both the information they provided and their permission to interview and collect data in their departments and agencies. To the many headquarter level staff directors and agency level administrators, custodial officers, counselors, and probation/parole officers who helped us, our deepest thanks.

Within AIR, we owe a debt of gratitude to many different senior and junior research staff and clerical and secretarial staff for their advice and assistance in designing data instruments, collecting and analyzing data, typing reports, editing and producing material.

Finally, to Marian Fox and Doris Donohue, the professional staff collectively expresses their appreciation for the loyalty, consistently excellent administrative and secretarial support, patience and good humor they displayed under always hectic, and frequently frantic, working conditions.

CHAPTER I. FIELD ANALYSIS OF OCCUPATIONAL REQUIREMENTS AND PERSONNEL MANAGEMENT IN CRIMINAL JUSTICE AGENCIES.

In conducting part of the National Manpower Survey, the American Institutes for Research concentrated upon the qualitative aspects of manpower, training and education. The information has been generated principally by two complementary methods: occupational analysis and personnel systems study. The major sources of information have been reports from field visits to approximately 240 criminal justice agencies, offices and facilities in ten states.

The occupational analysis effort was concerned with qualitative personnel requirements in the law enforcement and criminal justice field. The analysis focused on 20 key LE/CJ occupations for purposes of identifying the essential task-knowledge requirements of each occupation and for assessing the training and education implications of the job requirements.

The personnel systems analysis effort was oriented toward determining relationships among various personnel policies, procedures, trends and the consequent influence they have on manpower, job design, and training and education needs.

The field analysis program represents the first national effort to study systematically the specific skills and knowledges associated with the specific tasks performed by 20 LE/CJ key occupations. Other occupational analyses have been conducted, but no single effort has cut across all LE/CJ sectors, included as many occupations, or been directed at the task level.

To place the field analysis program in perspective with the many other NMS activities, it is necessary to note the distinction between the nature and purposes of the data obtained from the American Institutes for Research (AIR) field visits and the analyses obtained from the quantitative approach represented by the systematic survey of the Bureau of Social Science Research (BSSR), reported elsewhere in this series of reports.

The BSSR survey instruments were administered by mail and were structured to elicit answers to pre-established questions. Their distribution followed well-established probability sampling procedures that allow generalization to the nation as a whole because they are based upon coverage of the full "universe" of given categories of respondents.

The AIR field data and analyses, on the other hand, were considerably fewer, more intensive in nature, and more open-ended in design. They allowed for more exploration of specific circumstances. The choice of sites and persons to be visited was more purposive in that both were selected because of special interest in existing programs, philosophies and types of operations. This style of survey attempts to enhance understanding of new developments, to better depict the dynamics of interactions in complex organizational settings, and to permit more exhaustive description of personnel requirements and systems functioning.

The number of agencies involved in AIR's personnel system and occupational analyses was small. Any findings, therefore, need to be regarded as tentative and suggestive rather than definitive. The data and experiences that are cited in this volume highlight information that, if taken in conjunction with the more comprehensive and representative material reported in other volumes, may prove useful at local and national levels for encouraging constructive policy and program innovation and for planning and evaluating administrative experimentation, research and development.

A. OBJECTIVES OF THE FIELD ANALYSIS PROGRAM

The agency field visits that are reported upon in this volume were intended (1) to provide in-depth occupational analyses of the selected key LE/CJ occupations; (2) to assess the qualitative manpower implications of significant LE/CJ trends; and (3) to provide a supplemental source of agency-level data to be used where gaps exist in the more comprehensive and representative statistical data sources collected by the other members of the National Manpower Survey (NMS) consortium.

These aims translate to the following specific objectives, each of which will be discussed briefly in the remainder of this section:

- -Determine qualitative requirements in key occupations—tasks, skills and knowledge.
- -Assess implications of qualitative requirements for scope and content of training and education (T and E).
- -Describe and assess personnel and T and E implications of existing organization structures and personnel management practices.
- -Describe key trends in criminal justice programs and organizations and assess implications for personnel and for T and E needs.
- -Identify desirable improvements in personnel management practices affecting personnel and T and E needs.
- -Provide related data needed for other major NMS study components based on agency field visits.
- -Provide methods and procedures for use in continuing occupational and organizational analyses.
- 1. <u>Determine Qualitative Requirements in Key Occupations--Tasks, Skills</u>, and Knowledge

"Key" positions or occupations were selected for analysis in this study in order to establish manpower and training and educational requirements that could be considered as reasonably descriptive of the criminal justice occupation as a whole. Twenty prototype occupations would give the coverage desired. Selection of occupations was made only after a conceptual framework was developed, relevant published materials were reviewed, and advice was solicited from LE/CJ personnel, others with special expertise in the field, and cognizant LEAA staff. The following occupations were selected as key occupations for the NMS.

Law Enforcement

- Police Chief Executive
- Police Mid-Level Manager
- Patrol Officer
- Detective/Criminal Investigator
- Criminal Investigator Supervisor
- Patrol Line Supervisor
- Police Planner
- Evidence Technicial/Crime Scene Analyst

Judicial Process

- Judge--Court of General Jurisdiction
- Judge--Court of Limited Jurisdiction
- Court Administrator
- Prosecutor
- Defender

Corrections

- Community Correctional Administrator
- Correctional Institution Administrator
- Correctional Officer
- Probation Officer
- Parole Officer
- Counselor/Caseworker

Some of the main criteria considered in evaluating the ultimate choices are described below.

a. <u>Specialized Training</u>. Does the position/occupation require specialized training for its performance? Occupations whose duties did not clearly require specialized T and E (or equivalent experience) for effective performance in an LE/CJ agency were generally ruled out in the selection.

Other occupations whose incumbents may have actually received little or no specialized LE/CJ training, such as correctional officers, were considered eligible for selection because of the considerable literature emphasizing the need for such training. However, certain professions such as physicians and psychiatrists were not thought to meet this criterion since their general professional qualifications are normally sufficient to enable them to practice in LE/CJ agencies without any additional training.

- b. <u>Length of Training</u>. Is there an appreciable amount/duration of training required in order to effectively perform in the occupation?
- c. <u>Training Capability Deficit</u>. Is there a significant shortage of training capability (institutional or in-service) for the occupation?
- d. <u>High Frequency</u>. How many people are employed in the occupation?

 Positions such as patrolmen and correctional officers clearly ranked high under this criterion because of numbers employed.
- e. <u>Criticality</u>. How important is the position for overall agency or system performance? For example, if a reduction in staff were to be required because of budgetary constraints, would this category be likely to receive a relatively large reduction? Executives, other managerial and supervisory personnel, and other "line positions" tended to rank high under this criterion, as well as certain key operational support positions.
- f. <u>Personnel Shortages</u>. Are there indications of a current or prospective shortage of qualified personnel for the occupation?
- g. <u>Prospective Growth</u>. Is the occupation likely to experience a relatively rapid growth? High ratings were given in this category for certain emerging LE/CJ occupations which were assumed to have potential for rapid growth from a presently very low numerical base.

h. Need for Supervisory Skills. There was a broad concensus that management skills of LE/CJ staffs needed to be strengthened. This led to a separate identification of a high proportion of managerial and supervisory positions.

In order to fulfill the first objective (i.e., determine qualitative task, knowledge, and skill requirements in key occupations), occupational analysis procedures were designed to study the key occupations. One major need was to develop a "common language" of knowledge and skill requirements that could be used to compare position requirements with qualifications of the LE/CJ labor force—to compare job profiles with personnel profiles—as well as to compare training and educational standards with job standards.

To respond to this need, task analysis procedures were utilized to create a set of standardized work activity statements and qualification requirements applicable to each task at a specified level of skill and knowledge. A Functional Job Analysis model was the means utilized to develop the standardized lists of requirements.

2. Assess Implications of Qualitative Requirements for Scope and Content of Training and Education

In addition to determining the skill and knowledge requirements derived from a set of tasks that make up a key occupation, the scope of work included an assessment of manpower allocation and requirements. How constituent manpower is allocated among work activity categories and how much manpower is required under various sets of circumstances needed to be established. Given the projected discrepancies between numbers of people both available and needed, and the skills and knowledges they should possess to perform key occupation tasks, an estimation of the organization, scope and content of training

and education can be made. Training programs can be designed to bring resources and requirements into balance—a basic objective in the potential application of the findings of this study.

Training and education were organized into three main categories for the study.

- On-the-job training--relatively informal instruction and experience rather closely integrated with performance of the job itself;
- (2) Formal training—more structured and scheduled instruction of limited duration and scope, quite specifically designed or selected from available sources, conducted inside or outside the employing agency, to meet current or shortly anticipated needs of the individual and the organization;
- (3) Education--more general and extended curricula of a professional, semi-professional, or technical nature, designed by schools and colleges, covering a field of study, leading to the award of a certificate or diploma by the institution.
- 3. <u>Describe and Assess Personnel and T and E Implications of Existing</u>
 Organizational Structures and Personnel Management Practices

The studies of personnel systems had as their primary objective the attainment of in-depth understanding of the way in which various existing programs, policies, and management practices can influence the need for manpower and training and education. This facet of the study was intended to provide information to those charged with assessing, evaluating or planning manpower and personnel and training.

To satisfy this objective, field visits were conducted to identify conditions that tend to favor or obstruct change and to establish how various changes might influence one another within and between agencies. Based upon the experiences reported, inferences might be made which anticipate outcomes of alternative courses of action defined in various plans for change and innovation in manpower training and education policies.

4. Describe Key Trends in Criminal Justice Programs and Organizations and Assess Implications for Personnel and for T and E Needs

Similar to the preceding objective, the purpose here was to identify the trends in criminal justice likely to have the most substantial effect upon fore-seeable manpower and training needs.

As part of the personnel systems analyses of field agency visits, trends and innovations were examined and questions asked about implications regarding personnel policies, training programs, career paths, systems interfaces, workloads, and job structure and redesign. Certain of these trends and innovations were built into a common core of questions to be asked at each law enforcement, judicial process, or correctional agency selected for a personnel systems analysis field visit. These trends and innovations were:

Law Enforcement

- Innovative Policing Strategies
- Technology
- Utilization of Personnel
- Representation of Women and Minorities
- Formation of Employee Associations
- Role of Higher Education

Judicial Systems

- Court Reorganization
- Utilization of Paraprofessionals
- Diversion
- Institutionalized Offender Services

Corrections

- Community-Based Corrections
- Work Release Programs

Other trends and innovations in the three fields were not necessarily excluded, but coverage of them tended to be secondary to the assessment and impact analysis of those listed above.

5. <u>Identify Desirable Improvements in Management Practices Affecting</u> Personnel and T and E Needs

For this objective, the aim was to provide descriptions of specific cases of management practices encountered in the field that might be duplicated to some degree elsewhere. It was hoped that in some instances these might be supplemented by other observations or data that could lead to suggestions for improving personnel and T and E planning.

6. Provide Related Data Needed for Other Major NMS Components Based on Agency Field Visits

In addition to the kinds of outputs that relate directly to occupational analysis and personnel systems studies, some of the data generated in agency field visits proved useful for manpower statistical model design purposes and for the design of mail surveys.

- a. <u>Inputs for Model Designers</u>. Specific data needs of the model design group in the NMS are documented in detail elsewhere in this series of reports. Generally speaking, the following kinds of supplementary information were sought during the personnel systems analysis visits:
- (1) Statistical data similar to that planned for the agency mail surveys, so that the model designers could decide how the agency (or cluster of agencies) compares with the universe. Data useful in this regard include type of location, turnover, number of personnel, the occupational mix of personnel, the number of recruited each year, etc.
- (2) Information regarding the characteristics of personnel performing the key occupation jobs, including those in new or emerging occupations not sampled through mail questionnaires.

- (3) Before and after data regarding changes, innovations, etc., with respect to staffing, budget and workload.
- (4) Information about the impact of changes and innovations in one system upon another system.
- b. Inputs to T and E Program Analysis Group. The T and E program analysts were primarily interested in the occupational analysis findings, i.e., skill and knowledge requirements and their T and E implications for key occupations. Information of interest included the scope and quality of pre and inservice training, the adequacy of training and education received, differences between actual and optimal training settings, and deficiencies in knowledges and skills obtained through training.
- c. <u>Products With Implications for Survey Design</u>. During the personnel systems analysis visits, a number of questions and procedures were to be presented for possible use in other agency or occupational surveys.
- 7. Provide Methods and Procedures for Use in Continuing Occupational and Organizational Analysis

At the outset it was obvious that many methodological inventions or adaptations had to be developed or tailored to the demands of the NMS.

These in turn were adapted for use in continuing studies of occupations, organizations and systems.

B. SCOPE OF FIELD VISIT PROGRAM

Occupational analysis and personnel systems analysis data were collected during field visits conducted from October 1975 to February 1976. Field data were collected by 14 AIR staff members who were assisted by 13 part-time

individuals used on an as-needed basis. The field data collection was conducted by three teams organized into LE/CJ sectors—law enforcement, judicial process and corrections. A description of the field sample selection, data instruments, and procedures is presented below; more detailed discussion of the field analysis methodology can be found in the Appendix.

1. Selection of Field Sample

Field data were collected from 198 different LE/CJ organizations comprising 38 headquarter locations and 160 operating agencies. Because many headquarters visits entailed collecting information from different departments, offices, and training academies, and because 15 additional LE/CJ organizations participated in developing and field testing the data collection procedures and instruments, the total number of data sources utilized in the field visit program was about 230.

One requirement in the selection process for the field sample of LE/CJ organization was that one state from each LEAA region be included. After receiving advice and recommendations from a variety of consultants, LEAA staff, and state SPAs, the following states were selected:

Maryland
Illinois
New York
Massachusetts
Towa

Florida Colorado Texas Oregon California

Within each state, one SMSA was selected which would provide maximum overall diversity in type and size of law enforcement and court agencies and in which different innovative approaches and programs could be found. This consideration was less relevant for corrections because the locations of corrections headquarters and agencies were already determined by the selection of

the 10 states. The SMSAs where the law enforcement and judicial process teams collected the majority of the field data were:

Baltimore City and County, Maryland
Cook County, Illinois
Rochester and Monroe County, New York
Boston and Suffolk County, Massachusetts
Des Moines and Polk County, Iowa
Miami and Dade County, Florida
Denver City and County, Colorado
Dallas City and County, Texas
Portland and Multnomah County, Oregon
Los Angeles City and County, California

2. Data Collection Instruments

The two basic kinds of information collected during field visits were data on the key LE/CJ occupations and data on personnel systems needs, policies, and trends. To support the occupational and personnel systems analyses required by the National Manpower Survey, complex and diverse kinds of data were collected from many different departments. Toward this end, a total of 75 different data collection instruments were used in the field visits—26 by the judicial process team, 24 by the law enforcement team, and 25 by the corrections team.

The data instruments varied in format depending upon their purpose. Some were open-ended interview schedules for use with executives and supervisors, some were checklists for use with key occupation incumbents, and others were left at agencies to be completed and returned to AIR.

3. Field Visit Procedures

Contacts were made with LEAA Regional Offices and State SPAs to obtain their approval for data collection from LE/CJ agencies in their respective areas and to receive suggestions and other assistance. After this step, teams were responsible for making contacts with headquarters and agencies within their respective sectors, explaining the nature of NMS and the purposes of visits, scheduling visits, keeping appointments at designated times, and making any follow-up contacts necessary.

Depending upon the specific headquarter or agency, each visit generally required one to two days. The exceptions to this were corrections headquarters where three to four day visits often were necessary.

CHAPTER II. OVERVIEW OF MAJOR FINDINGS

The field analyses of occupational requirements and personnel management systems conducted by the American Institutes for Research for the National Manpower Survey have generated a number of conclusions, findings, and observations. The major findings are presented here as an overview; they are discussed in context and in greater detail in the following chapters of this volume.

The findings are based on observations from a selective, small, non-representative sample. The findings should be regarded as suggestive and can be interpreted meaningfully only in conjunction with larger, more representative data presented in other volumes of this series.

The findings are organized by LE/CJ sectors—law enforcement, corrections, and judicial process. Within each sector, the findings are further grouped into occupational, personnel systems, organizational and major trends findings.

A. LAW ENFORCEMENT AGENCIES

1. Occupational Findings

- Knowledge and skill deficiencies exist within all law enforcement occupations for the performance of required tasks, although the number, level, and content of these deficiencies vary by occupation.
- With the possible exception of the patrol officer occupation, few changes in task profiles are expected to occur during the next five years. To varying degrees, increases in the emphasis of selected knowledge/skill requirements are expected to occur in all nine key occupations.

- Certain system developments, if they become established trends, will substantially influence the occupational profile of future patrol officers. These developments include team policing, the police agent position, civilianization, specialization, and continued education.
- The indications suggest that the recently developed occupations of evidence technician, police planner, and police legal advisor will continue to grow.
- Sufficient occupational analysis findings, including those from the present study, now exist to cast doubt on the direct relevance of post-secondary education as a minimum entry-level standard for the patrol officer occupation.

2. Organizational Findings

- Five major organizational factors generally agreed to as affecting manpower utilization and staffing are budget, politics, service delivery orientation, workload, and legal restrictions.
- Police linkages with the rest of the criminal justice system still can be characterized as fragmentary but gradually improving.

3. Personnel System Findings

a. Personnel Issues and Policies

- There are few recruiting difficulties among law enforcement agencies with the exception of attracting minority and women candidates; hiring qualified personnel is not generally a problem.
- The lower-than-normal turnover currently experienced by law enforcement agencies is generally attributed to the current economy and employment market.
- Availability of federal funding appears to be a greater stimulus to increased specialization than the need for it, but there also seems to be a growing tendency for agency administrators to consider eliminating specialized units.
- Civilianization is expected to continue to expand to more and different positions and functions. Training and turnover of civilians filling previously sworn positions continues to be a problem.
- Use of paraprofessionals is infrequent in law enforcement agencies, but interest in it is growing.

- Opportunity for advancement, or lack of it, was not viewed as a personnel problem by the agencies visited.
- The most prominent impact of police collective bargaining is upon work scheduling; to a much lesser degree, in-service training and continuing education policies are affected.
- The majority of agencies are actively recruiting minority and women police applicants. Where recruitment is a problem, it is usually limited to these groups.
- Increased representation of women and minorities in the sworn personnel force has had relatively little impact upon training and education policies and programs.

b. Training and Education Policies/Programs

- The majority of agencies are generally satisfied with the length, content, and quality of basic training currently provided to recruits. One of the most frequently mentioned deficiencies is an insufficient amount of practical application provided in the formal training setting.
- A major effect of manpower shortages for many agencies is releasing personnel for basic training. Some smaller agencies have found it necessary to resort almost exclusively to closely supervised, in-agency field experience rather than formalized recruit training.
- Many agencies which operate basic training academies frequently experience staffing problems in using field officers as academy instructors.
- Training staffs frequently are viewed as "expendable" for redeployment to more critical functions, particularly when manpower shortages occur.
- The utilization of field training officers, their selection, and their preparation are issues of widespread interest. It seems likely that more formal use of field training officers during pre and post recruit training and, in some instances, during the entire recruit probationary period will be seen.
- The level of management satisfaction with current in-service training programs is generally quite low.
- Many agencies have found it difficult to plan, develop, and administer effective in-service training programs. A key variable in an agency's ability to implement a viable in-service training program is top-level management commitment.
- The most frequently mentioned difficulty associated with in-service training programs is the scheduling and release of personnel from

regular duty to attend such training. Budget limitations is another significant factor.

- In-service and specialized courses emanating from state or regional law enforcement training academies would alleviate some of the in-service training problems experienced by law enforcement agencies.
- The concept of roll call training appeals to most executives and managers. Roll call training is generally poorly structured, however, and a more formal approach is widely seen as desirable.
- Another significant difficulty associated with in-service training is the agency's changing needs and priorities. It is doubtful that in-service training will ever stabilize. The need for training to be responsive to agency needs as they develop must be recognized.

4. Innovative Policing Strategies and Technology

a. Team Policing

- Team policing seems not to require more personnel, at least more sworn personnel, and it appears to facilitate civilianization.
- Team policing appears to have a greater impact upon the duties and responsibilities of patrol officers than upon detectives. Team patrol officers definitely assume detective responsibilities in addition to patrol responsibilities, but detectives also share patrol responsibilities to some extent.
- The greatest in-service training need created by team policing is in instructing patrol officers how to conduct investigations.
- Most agencies believe that team policing creates a special need for community relations training.
- There appears to be no critical supervisory and management training needs unique to team policing which are not also important in conventional policing agencies.
- Institutionalizing team policing should ultimately affect the agency's recruit training program by requiring more emphasis upon learning investigative skills.
- There is no unequivocal evidence that either a college level educational entrance requirement or an above average educated police force is a prerequisite for institutionalizing team policing.

b. Other Innovative Policing Strategies

- General policing strategies, such as random preventive patrol and directed patrol, typically produce a broader impact on personnel and training requirements which will probably be longer lasting than crime specific strategies, since the effects of the former are wider spread in the agency and community.
- Externally funded innovative projects typically are opportunities for agencies to acquire more personnel and/or more trained personnel. These benefits often spill over into the overall resources of the agency during the project and extend beyond its termination. Larger agencies more often than smaller agencies capitalize on this opportunity to augment their resources.

c. <u>Technology</u>

• Technological advances such as communications and management information/record keeping, generally have service improvement effects, but there is little evidence to suggest that the application of technological innovation will supplant significant numbers of law enforcement personnel or cause major adjustments in law enforcement manpower utilization and training in the foreseeable future.

B. CORRECTIONS

Adult Corrections

1. Occupational Findings

- In general, there is insufficient distinction made in the tasks, knowledges, and skills appropriate for correctional officers and counselors working in institutional vs. community-based correctional environments.
- The essential task-knowledge requirements for correctional officers and counselors will not change radically in the near future; there is widespread need for greater proficiency in interpersonal skills for correctional officers and for counseling approaches specific to corrections for counselors.
- There is a critical need for more effective and sophisticated management skills and techniques for institutional and community correctional administrators.
- The need for better skills and abilities in developing and integrating community resources, human service agencies, and volunteers for purposes of creating more effective rehabilitation programs will increase in the new future.

• On-the-job training has been the primary means for correctional officers and counselors to learn their tasks even though formal training and, to a much lesser extent, academic preparation are more effective and efficient. The development of centralized and more formal pre and in-service training in recent years is an initial step in improving acquisition of requisite skills and knowledges.

2. Organizational Findings

- Correctional systems remain highly fragmented. Progress toward unifying correctional functions is slow, but probably will increase in the future; the unification of field services with the administration of institutional services will develop faster and more widely than the integration of adult and juvenile corrections.
- There is little evidence of large-scale, systematic planning of corrections with either the law enforcement or judicial process components of the LE/CJ system.
- Most state departments of corrections are committed to the concept of community-based corrections, but there is a general lack of definition of the types and qualifications of personnel needed to staff community-based facilities.

3. Fersonnel Systems Findings

a. Personnel Issues and Policies

- Increases in inmate populations will continue to result in pressures for more correctional officers and correctional counselors.
- The most rapid growth during the next five years will occur in correctional officer and, at a lesser rate, correctional counselor positions. Both correctional administrator and community correctional administrator will be growth positions in many jurisdictions, but large numbers of personnel are not involved.
- Turnover rates for correctional officers remains relatively high and constitutes a significant problem in most states. Turnover among counselors is also high but not to the same degree. There is little turnover in correctional administrators.
- Few significant changes in entry level and promotion standards are indicated for key correctional occupations in the near future, largely because they are incorporated into rigid and standardized civil service systems.
- Typical career ladders for correctional officers and counselors, while providing for advancement within the positions, are

generally restrictive in that they do not provide options for moving into other occupational positions.

- There is little opportunity for correctional staff to transfer among state correctional systems without loss of benefits.
- There is now and will continue to be a large pool of qualified applicants for jobs in corrections.
- Affirmative action programs are widely implemented in state departments of corrections and correctional agencies and have resulted in increased employment of minorities. Less impact has been made in facilitating advancement of minorities to managerial positions.
- Unions and other collective bargaining units will expand to more states and will have increasing influence upon personnel policies at both the department and institutional levels.
- The use of ex-offenders and volunteers is not widespread or systematically planned and organized in most states.

b. Training and Education Policies/Programs

- Correctional training has grown significantly since 1970, largely through the impetus of LEAA support. A training infrastructure has been developed in many departments of corrections in the form of centralized training facilities, full-time staffs, and training development resources.
- Centralized training academies will continue to be the primary focus of correctional training for state correctional systems.
- The trend toward making preservice and, to a lesser extent, inservice training mandatory for correctional officers and counselors is apparent and will probably increase.
- Preservice training generally is more developed in corrections than in-service training, and training for correctional officers is more formalized than for counselors.
- The most frequently and widespread problem in correctional training is releasing staff for training.
- The quality of correctional training is largely unknown as rigorous evaluation of training against systematically derived performance standards has not been accomplished.
- Jails generally do not provide much training and that which they offer is less developed than training administered by state correctional systems.
- There is need for more and better management training for correctional administrators.

• Training curricula are increasingly containing more treatment and interpersonal topics for correctional workers.

4. Innovative Trends Findings

- Most states are committed, in varying degrees, to the concept of community-based corrections and stabilization or moderate growth is likely in the immediate future.
- Community-based facilities are currently being used, and will continue to be used, as short-term residence facilities for prerelease programs rather than long-term community facilities for all offenders.
- Community-based facilities will continue to serve a relatively small proportion of the total number of residents of a correctional system who typically are carefully screened and selected to minimize risk to the community.
- Few states have created new staff positions or have significantly changed tasks of existing positions as a result of the use of release programs. Staffing typically remains on traditional lines.
- The most common manpower shortage in community-based facilities results from treatment and administrative staff being required to assume roles of others for which they are not trained. The typical response to staffing shortages is to request existing staff to assume extra operational responsibilities.
- There is no need for large-scale recruitment programs designed to make available large numbers of specially qualified staff for key positions in community-based programs. Special qualifications for community-based assignments typically are neither defined nor sought.
- There are no consistent or widespread efforts to provide specialized training for newly assigned personnel in community-based correctional programs.
- Although community-based facility objectives are clearly different from those of larger institutions, little effort has been made to modify education or training standards for new and incumbent staff in community positions.
- When placed upon a list of priorities, training for community-based facilities is of a lower priority than manpower expenditure needs.

Juvenile Corrections

1. Occupational Findings

- The trend toward removing selected residents and diverting status offenders and delinquents from training schools is resulting in fundamentally different populations being served which is not reflected in assigning or the training of counselors and houseparents.
- In general, counselors need more and better skills in counseling approaches for correctional environments, for working with clients' families, and working with community resources; houseparents need better interpersonal and communications skills; and administrators need better management skills and training.
- Houseparents and counselors typically have learned their tasks by on-the-job training, even though many tasks can best be learned by formal training. Initial steps toward providing formalized pre and in-service training have been taken by many states, but much more has to be done.
- Developing community resources, integrating them into treatment plans and programs, and monitoring services provided by other agencies by contract are skills that will be needed increasingly as less direct and more purchase of services are emphasized by juvenile correctional systems.

2. Organizational Findings

- The administration of correctional services to juveniles is fragmented largely because of the variety in types of juvenile facilities and the large number of human services agencies which impact on the juvenile corrections system.
- Only few and sporadic attempts have been made to integrate juvenile and adult corrections under one administrative organization. There is little evidence of systematic interaction between juvenile and adult correctional officials.
- Other components of the LE/CJ system appear to get more involved in juvenile than for adult corrections, although this involvement is restricted to specific locales and tends to be ad hoc attempts; some courts have developed diversion programs as alternatives to committment and some police agencies and juvenile correctional systems have established formal channels of liaison.
- Few attempts have been made to organize human service agencies under a common umbrella so that services to juveniles can be efficiently provided. Both poor coordination of efforts by different agencies and the absence of effective program monitoring typically limit effectiveness of programs.

- There is a general lack of differentiation between community-based and institutional programs for purposes of determining and assigning staff with relevant qualifications.
- There will be an increase in the trend to provide fewer residential and more day programs by juvenile departments of corrections which will result in less direct service and more contracting for services.

3. Personnel Systems Findings

a. Personnel Issues and Policies

- The most frequent change over the last five years in job standards has been to increase educational requirements for counselors, correctional administrators, and community correctional administrators.
- Generally, entry level houseparents and counselors are better qualified today than five years ago, attributed most often to the current economic recession causing a large applicant pool with college-level degrees.
- The most persistent manpower shortages occur in training schools rather than detention centers and community-based facilities, and these shortages typically involve houseparent positions.
- The highest turnover rates typically are for houseparents and, to a lesser degree, for counselors. Turnover rates are lower than "normal" because of the widespread poor economic situation.
- No critical manpower shortages are expected for the near future as projections for staff in key occupations in most states indicate no or minimal growth.
- Career ladders for key occupations in most states provide for progression within specific occupations rather than to other career fields.
- Most, if not all, state departments of juvenile corrections and correctional agencies have affirmative action programs which have resulted in increased minority representation on staffs during the last five years.
- Unions have had little impact on the numbers and the entry level or promotion standards of key juvenile correctional occupations, but their influence is expected to grow.
- There have been few emerging occupations which have received widespread acceptance among states.

b. Training and Education Policies/Programs

• There is a trend for state departments of juvenile correction to develop and implement pre and in-service training from centralized training centers with full-time staffs.

- The move toward centralized, more systematic training has developed during the last five years in most states with LEAA funds providing the major impetus.
- Almost no training originates at local correctional agencies. Whatever training is provided is typically orientation, and this is usually given at the larger, more traditional facilities—training schools and detention centers.
- Preservice training generally is better developed than in-service training, and training for houseparents is typically further developed than for the other key occupations.
- Although most states claim they evaluate training, there is little evidence to suggest this evaluation is rigorously accomplished or is of very high quality.

4. Innovative Trends Findings

- Most states are committed to community-based programs and this trend is likely to continue.
- Delinquency prevention is widely expected to receive increased attention as an extension of efforts made in diverting youth from the formal correctional system.

Probation/Parole

1. Occupational Findings

- Community resource management in which probation/parole officers actively serve as brokers of existing community services and resources for use in developing individual programs for clients will continue to grow in importance.
- There appears to be considerable effort in many states to create more professional time for probation/parole officers to devote to treatment and casework activities and to engage in individualized treatment planning.
- Probation/parole officers increasingly will need more and better skills in dealing with and working in the community. This most likely will entail public relations, and coordinating and developing the use of volunteers, community resources, and contracting for treatment services.
- There is a general need for more and better training in treatment planning, community resource management, and legal issues impacting on probation and parole services.

2. Organizational Findings

- There is a trend toward integrating field services with the administration of institutional services. Parole functions are more integrated within corrections than are probation functions.
- There is little evidence of efforts being made for probation/parole officers to carry both adult and juvenile caseloads or to integrate juvenile and adult probation/parole services.

3. Personnel Systems Findings

a. Personnel Issues and Policies

- There is in general a long-standing manpower shortage in both adult and juvenile probation/parole. The most acute shortage is in probation/parole officer positions, although the need for additional supervisor and specialist positions is widespread.
- Probation/parole workloads will continue to increase as a result of recent court decisions and the growing numbers of clients assigned to supervised, non-residential custody.
- There has been growth in manpower for both adult and juvenile probation/parole, but this growth has not kept pace with caseload growth; probation/parole caseloads typically are higher for adults than for juveniles.
- There will be increasing use of specialists for administrative and liaison functions in attempts to provide probation/parole officers more time to supervise caseloads.
- The use of ex-offenders and community volunteers, while widespread in juvenile probation/parole, has had no significant impact on manpower or workloads.
- Both juvenile and adult probation/parole agencies have developed formal affirmative action plans that have increased minority and female representation on staffs.
- Minorities and females in juvenile and adult probation/parole appear not to be restricted in job assignments and there has been no apparent adverse effects on probation/parole staff as the result of affirmative action programs.
- Unions have not yet made a significant impact on either adult or juvenile probation/parole personnel management or policies.

b. Training and Education Policies/Programs

• For both adult and juvenile probation/parole there has been a dramatic expansion of pre and in-service training as compared to five years ago. LEAA support has been the major impetus of this expansion.

- The trend is toward making pre and in-service training for both adult and juvenile probation/parole officers more formal, mandatory, and extensive. Training currently administered varies in quality and scope among states and almost never is evaluated.
- Legal issues and rights of youth are increasingly becoming areas of concern for the training of aftercare workers.

C. JUDICIAL PROCESS

Courts

1. Occupational Findings

- The reorganization of many state court systems has resulted in the creation of a number of general jurisdiction judgeships, while court consolidation has eliminated many minor judicial officer positions such as the justice of the peace.
- There is a continuing requirement for criminal court judges to possess a higher degree of criminal law and procedure skills and knowledges than ever before.
- The occupations of parajudge or administrative officers likely will continue to emerge and assume responsibility in specialized areas formerly performed by judges, particularly with regard to some preliminary proceedings and special classes of offenses such as traffic and alcohol abuse.
- Some changes in task profiles of limited and general court judges can be expected to occur as administrative adjudication replaces formal judicial proceedings. However, whether this will cause any decrease in manpower requirements cannot be ascertained at this time.
- There continues to be a need for more administrative and presiding judges to acquire basic management skills to assist courts in development and operations of their judicial systems.
- Judges may be becoming more of a generalist than ever before but may be required to perform judicial duties in more specialized branches of limited and general jurisdiction courts.
- The occupation of professional court administrator will continue to emerge and develop with increased specialization in such areas as calendar management, planning and computer sciences.

• It appears that court reorganization and reform efforts will continue at a constant or somewhat accelerated rate for many state judicial systems throughout the country.

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- Earlier attempts by many states to develop single level unified trial courts appears to have had only limited success.
- There will be more consolidation of limited and general jurisdiction trial courts tempered somewhat by political and administrative requirements of individual jurisdictions.
- The trend toward eliminating courts not of record will continue.
- Reorganization of state court systems will eventually lead to centralized administration to be managed by the chief justice and/or his state court administrator.
- Financing of court systems at the state level appears to be one of the major obstacles to reorganization.
- State and local court systems appear to possess little capability to adequately plan for future needs.
- Much of the administrative and management capability required to operate state court systems appears to still be needed for centralized or unified systems.
- Computerization appears to be emerging as a field which may have major impact on the future administration of courts. Specialists of various types are already in demand by some court systems.

3. Personnel System Findings

a. Personnel Issues and Policies

- The development of unified and/or consolidated systems will provide the impetus for the creation of state-wide judicial personnel systems in many jurisidctions.
- There appears to be a trend toward greater utilization of judicial nominating commissions and appointment of judges to replace elected judge procedures.
- Low judicial salaries and compensation plans still appear to pose problems for some jurisdictions in attracting and retaining highly qualified individuals to the judiciary.
- Women and ethnic minorities still comprise only a very small percentage of judges in the United States, although this appears to be changing somewhat in the larger urban and metropolitan areas.

 Courts throughout the country continue to indicate the lack of adequate support and clerical personnel to keep pace with expanding caseloads.

b. Training and Education Policies/Programs

- There has been substantial expansion and improvement in a large number of state organized in-service judicial education programs during the last three years.
- Greater emphasis on the art and quality of judging appears to be needed as part of many judicial education curricula.
- There is a widespread need for the continued development and updating of deskbooks and benchbooks for judges.
- National training programs for judges and administrators are widely recognized as important preservice and in-service components, and deserving of continued support.
- There is widespread need for more state and regional training for court administrators to complement national programs.

4. Innovation and Trend Findings

- Courts are continuing to search for and utilize alternatives to traditional methods of adjudicative practices, such as administrative procedures for almost all traffic offenses in some states.
- Courts are continuing to experiment with computerization in various aspects of operations ranging from jury notification and preliminary screening to docketing and calendaring of all the court's business. Computerization most likely will increase in the future.
- Decriminalization of some offenses and reclassification of others have caused some reorganization of certain courts and the restructuring of others.
- Courts are generally becoming more responsive to the needs of jurors, witnesses and victims, and are providing facilities and services to meet these individual requirements.
- Juvenile courts as a separate entity are slowly becoming merged with general jurisdiction courts in many states. This trend will continue but will not affect all systems.
- Pretrial services and diversion programs are increasingly being utilized by courts and will tend to increase.

Defenders

1. Occupational Findings

- Most law school graduates who comprise the majority of the new hire labor pool for defender agencies are not adequately prepared to perform the full range of duties required of the job.
- Paralegals and law interns appear to be performing more and more tasks formerly done by attorneys, thereby allowing more time for preparation and trials.

2. Organizational Findings

- A majority of states now have components of public defender systems representing a substantial increase over ten years ago.
- The trend toward developing statewide defender systems with some local autonomy seems to be increasing throught the country.
- Assigned counsel continues to play an important role in the provision of defense services, but its utilization as a primary method of delivery appears to have diminished.
- Certain functions such as training and appellate practice appear to be delivered more effectively at state headquarter levels than by individual defender offices.
- A greater emphasis on vertical representation for defender agency clients seems to be replacing stage representation in many jurisdictions.

3. Personnel Systems Findings

a. Personnel Issues and Findings

- Shortages continue to exist in many defender agencies for the attorney and investigator positions. For the attorney position shortages appear to be due to financial limitations rather than lack of qualified applicants.
- Salaries for new hire defenders appear to be approaching parity for similar positions in public agencies and private law firms.
- Turnover among defenders in public agencies and private contract services has appeared to slow down primarily due to the economy and lack of jobs in other sectors. The employment pool for new hires has more qualified applicants than positions available.
- The trend toward more full-time public defenders seems to be increasing.

b. Training and Education Practices and Policies

- Orientation training for new hires has expanded greatly in many defender agencies and systems due in part to the commitment by many agency executives and the investment of LEAA support.
- In-service programs for experienced attorneys appear to remain a weak component of many defender agency programs.
- Training for private practitioners accepting public appointments appears to be increasingly available in many jurisdictions.
- National training programs appear likely to continue to provide specialized skill instruction for defenders.
- The utilization of law intern programs by defender agencies to prepare and train potential defenders appears to be highly successful and is likely to continue.

4. Innovation and Trend Findings

- The development of social service delivery programs within defender agencies appears to be a growing trend.
- Computerization and automated legal research techniques have not appeared to have had a substantial impact upon defender agencies yet. However, it is expected to begin to do so in the near future.
- Pretrial services and diversion programs continue to be used by defender services with mixed results and rates of success.

Prosecutors

1. Occupational Findings

• Two distinct classes of prosecutors appear to be emerging. The first of these may be considered the technician who devotes major energies to case development while the second class of prosecutor focuses on trial or court appearances.

2. Organizational Findings

- The utilization of trial teams and special units or divisions for investigating and prosecuting law violators, such as the organized crime units, seem to be very popular and are likely to grow.
- Paralegals are, it appears, providing support and performing a variety of tasks formally carried out by prosecutors. This additional aid has generally eased the burden of increased caseloads and permitted more time for trial preparation and trial advocacy.

3. Personnel Systems Findings

a. Personnel Issues and Findings

- Shortages appear to exist in many prosecutors' offices for attorneys and investigators, largely because of limited financial resources.
- Turnover among prosecutors has been reduced over the past few years, primarily due to the economy.
- The practice of permitting part-time assistant prosecutors to maintain outside law practices continues.
- The new hire employment pool consisting primarily of recent law school graduates far exceeds the number of positions available.
- Prosecutor offices appear to be hiring more women and minorities.
 However, they are often unable to compete with more attractive opportunities in the private sector.

b. Training and Education Practices and Policies

- Orientation and in-service agency training is still in need of substantial improvement in many prosecutor offices.
- More practical skills are needed for new prosecutors. Whether law schools are appropriate mediums for gaining these skills and abilities is a matter of current debate.
- National training programs appear to continue to provide specialized skill instruction for prosecutors to supplement regular in-service programs.

4. Innovation and Trend Findings

- Attempts to institute no plea bargaining programs have been met with only mixed success.
- Prosecutors have begun to take advantage of computer programs to assist in managing their work and caseloads, a trend which will likely increase.
- Victim/witness assistance programs are becoming more common in prosecutor offices and may be expected to continue.
- It appears that the management of diversion programs may have only a limited future as part of prosecution office programs.

CHAPTER III. LAW ENFORCEMENT AGENCIES

A. DESCRIPTION OF AGENCIES VISITED

1. Size and Type Distribution

Within the 10 SMSAs, field site visits were conducted at thirty-one law enforcement agencies. Table VIII-III-1 lists the categories of agencies included and the numbers of each. The law enforcement agencies participating in the study are identified in the Appendix.

2. Functional Variations

The law enforcement agencies visited perform a variety of functions associated with the delivery of police services. Agencies were surveyed with respect to twenty-one generally known police functions and were requested to add additional functions to the list if appropriate. The data reported by twenty-six of the 31 agencies visited are summarized in Table VIII-III-2.

Virtually all agencies perform the basic functions of patrol, criminal investigations, traffic law enforcement and control, and emergency communications. The one large municipal agency which reported that it did not perform an amergency communications function has that service provided by a city-wide communications department. A high-ranking officer of the police department supervises the communications activity, however, and has considerable influence over the operations.

We also found that nearly all of the agencies perform the basic support services of personnel administration (22 of 26), records and identification

Table VIII-III-1

Numbers of Law Enforcement Agencies at Which NMS Field Site Visits were Conducted by Size and Type

Small	(100/less total sworn and nonsworn fulltime police personnel)	7
	- Municipal agencies	5
•	- County Sheriff's departments	
Medium	Size (101/more, 500/less total sworn and nonsworn fulltime police personnel)	14
	- Municipal agencies	9
	- County police agencies	2
	- County Sheriff's departments	3
Large	(501/more total sworn and nonsworn full time police	
	personnel)	10
6-	personnel) - <u>Municipal</u> agencies	
	personnel) - <u>Municipal</u> agencies - <u>County police</u> agencies	10
	personnel) - <u>Municipal</u> agencies	10 6 1
TOTAL	 personnel) Municipal agencies County police agencies County Sheriff's departments State agencies 	10 6 1 1
TOTAL	 personnel) Municipal agencies County police agencies County Sheriff's departments State agencies 	10 6 1 1 2
TOTAL	- Municipal agencies - County police agencies - County Sheriff's departments - State agencies	10 6 1 1 2 31
TOTAL TOTAL	personnel) - Municipal agencies - County police agencies - County Sheriff's departments - State agencies otal Municipal Agencies	10 6 1 1 2 31 20

Table VIII-III-2

Functions Performed by NMS Agencies by Size and Type (Number of agencies performing each)

Functions Currently Performed	М	unicip Age	al Pol ncies	ice		nty Pol		. Co	unty S Depart		¹ g	State Police Breakout by Siz			Size of A	gency
rdictions ouriently reflormed	N Small	Z Medium-size	9= Large	118 N=17	Z Nedium-size	Z F Large	N=3	Z Small	Z Medium-size	Z Large	117 2 411	Z Large	Small Small	H Medium-size	z z Large o	N=26
a. Patrol	4	7	6	17	2	1	3	1	2	1	4	2	5	11	10	26
b. Criminal investigations	4	7	6	17	2	1	3	1	2	1	4	2	5	11	10	26
c. Traffic law enforcement and control	4	7	6	17	2	1	3	1	2	1	4	2	5	11	10	26
d. Emergency communications	4	7	5	16	2	1	3	1	2	1	4	2	5	11	9	25
e. Crime laboratory analysis of evidence	1	1	3	5	2	1	3	0	0	1	1	2	1	3	7	11
f. Operation of short-term detention facility, e.g., lockup g. Operation of longer-term	3	5	1	9	1	1	2	0	1	1	2	0	3	7	3	13
g. Operation of longer-term detention facility, e.g., jail	0	1	0	1	1	0	1	1	1	1	3	0	1	3	1	5
ω h. Provision of formal entry- Level training	2	2	5	9	.2	1	3	. 1	1	1	3	2	3	5	9	17
 Provision of formal in-service training 	3	5	6	14	2	1	3	1	2	1.	4	2	4	8	10	22
j. Personnel	3	7	6	16	2	1	3	1	2	1	4	2	4	11	10	25
k. Records and ID	4	7	6	17	. 2	1	3	1	1	1	3	2	5	10	10	25
1. Planning & Research	3.	7	6	16	2	1	3	0	2	1	3	2	3	11	10	24
m. Equipment maintenance	2	5	4	11	1	1	2	1	2	0	3	2	3	8	7	18
n. Data processing	1	2	5	8	1	1	2	0	ļ	1	2	2	1	4	9	14
o. Legal counsel	0	3	5	8	1	1	2	0	1	1	2	2	0	5	9	14
p. Public/community relations	4	7	6	17	2	1 0	3	1	2	1	4	2	5	11	10	26
q. Motor vehicle licensing inspection	0	1	0	1	0	0	0	0	0	0	0	37	0	1	1	2
r. Juvenile services	4	7	4	15	1	0	1	1	2	1	4	0	5	10	5	20
s. Emergency ambulance service	1	1	1	3	0	0	0	1	0	0	1	0	2	1	1	4
t. Vehicle towing	0	3	3	6	0	0	0	0	0	0	0	0	0	3	3	6
u. Civil process serving	0	0	0	0	0	. 1	1	1	1	1	3	0	1	1	2	4

Source: Law Enforcement Agency Report Form completed by 26 of 31 agencies visited. N = reporting agencies.

(25 of 26), planning and research (24 of 26), and public/community relations (26 of 26). A word of explanation concerning the performance of a personnel administration function is in order. This response should not be interpreted as agencies performing the entire range of functions associated with personnel administration. Many agencies visited work with a state, county, or municipal personnel agency insofar as some personnel-related activities are concerned. These activities might include recruitment, testing, certification, ranking of candidates, etc. Agencies then frequently perform personnel-related functions such as the conduct of background investigations, oral board interviewing of candidates, training, performance evaluation, and discipline. Few agencies maintain total control over the employment of recruits and the promotion of officers to ranking positions. Testing is frequently administered by an outside agency of the governmental unit.

The frequency of planning and research (24 of 26) is significant. The only agencies not reporting that they perform this function were two of the small agencies. While the sophistication of this function varies considerably, recognition of the need for such services is widespread. This is discussed in greater detail in Section C where the connection between functions performed and the utilization of personnel is analyzed.

Twenty of the agencies reporting perform juvenile-related services. As might be expected, the two State Police agencies do not perform these activities. Surprisingly, however, three of the other eight large agencies also reported that they do not perform these activities while all of the small (5 of 5) and nearly all of the medium-sized (10 of 11) agencies do.

Nearly all of the large agencies (9 of 10) are afforded access to legal counsel as are 5 of the 11 medium-sized agencies. The need for legal counsel

in managing law enforcement agencies has been widely recognized and is reflected in the number of agencies having these services at their disposal.

Another growing area, data processing, was reported by a significant number of agencies. Nine of ten large agencies perform data processing. Four of the eleven medium-sized and of the five small agencies do as well. It is likely that the advent of the "mini-computer" and readily available soft-ware packages will stimulate even greater interest in this area. Its desirability has been established; its feasibility is being increased.

3. Linkages with Other Criminal Justice Agencies

In 1971, the Advisory Commission on Intergovernmental Relations published a report from which the following excerpts are taken:

The American system of criminal justice is a complicated one. Its complexity demands strengthened patterns of relationships among all levels of government so that a unified attack on the crime problem can be undertaken. 1

This study finds that generally, the collective operations of police, public prosecutors, public defense counsels, courts and corrections establishments do not constitute a well articulated system.

... While this report necessarily focuses on the intergovernmental relations problems infringing on the criminal justice system, no analyses of its institutional parts can, or should, avoid the basic judgment that much of it, in fact, is a non-system police, prosecution, courts and corrections function too frequently in isolation, or in ways that are counterproductive to each other. 2

Other words often used to describe the relationships which exist among components of the criminal justice system (or non-system?) include: fragmented, disjointed, inefficient, disconnected and dysfunctional.

The scope of our inquiry in connection with the National Manpower Survey did not allow us to take an in-depth look at the current state of relationships between law enforcement agencies and other elements of the criminal justice system. However, our close contact with agency executives and managers provided us with information regarding things happening today relevant to the subject. The following observations give, we think, a fairly accurate picture of contemporary events which bear on these important relationships.

We found that law enforcement executives are becoming more vocal in expressing dissatisfaction with the operation of other criminal justice system elements. A number of law enforcement agencies have initiated efforts to track the outcome of major cases so that information regarding the ultimate disposition of the cases and offenders can be compiled. In some instances, these data may be released directly to the public through the news media; in others, they may be made the topic of discussion at meetings of criminal justice system agency heads; and they might also be brought directly to the attention of the criminal justice system agency head involved with a request for an explanation. Through these means, some law enforcement agencies are demanding a higher degree of accountability from other elements of the system than ever before. We found that these agencies are less likely to sit back and take full responsibility for the rate of crime and are more willing to share this responsibility with the other elements involved.

In some cases, the linkages among law enforcement agencies and other system components have been somewhat formalized by the establishment of

mechanisms whereby the heads of all system components in a given jurisdiction meet periodically. These meetings are generally used as a forum for the development of coordination between the agencies involved and the sharing of information regarding respective areas of responsibility. While the existence of these "coordinating councils" does not necessarily indicate that we are moving toward a "well articulated" system of criminal justice, we do think they are contributing to a breakdown in the isolation and hopefully in the counterproductiveness which have heretofore characterized the operation of system components.

Another similar development has been the formation of local or regional criminal justice planning councils in a number of areas. These planning components are often supported by professional staffs. Council members are usually drawn from criminal justice agency management across the system, as well as the governmental units involved and the community. In this context, law enforcement agency managers are involved in working with other agency officials and governmental and community representatives, usually for the purposes of planning and allocating funds to support agency or community based projects or programs.

In addition to these relatively recent developments, law enforcement agencies continue to maintain those linkages which have traditionally existed. The most direct of these is the close relationship between law enforcement agencies and the prosecutorial officials in each respective jurisdiction. While it is recognized that police and prosecutors should work closely together, we get the distinct impression that the relationship is frequently not that which might be characterized as a partnership. One explanation offered for the tension sometimes found between these two central components of the system

(supposedly with similar goals related to detection, apprehension, and conviction of criminal offenders) centers around the political orientation of most prosecutors and the implications of this insofar as relations with law enforcement agencies are concerned. Some law enforcement officials view prosecutors in their jurisdiction as politicians whose primary objective is to create an impressive public record of convictions. Consequently, those cases which might be seen as marginal may be "no-papered" rather than prosecuted, and offenders who, in the eyes of the arresting police officer, are seen as probably guilty are released. Another phenomenon which is mentioned as adding to the tension surrounds plea bargaining, and the prosecutor's willingness to accept a guilty plea in exchange for not prosecutiong other offenses with which a suspect may be charged. It does not take much imagination to understand the frustration experienced by an investigator whose efforts lead to the arrest of a suspect on multiple charges only to find that the prosecutor later bargains some of these charges away in exchange for a guilty plea.

There are other aspects of the relationship between law enforcement agencies and prosecutors which produce tensions, but these are the most significant we heard of. Mechanisms for ameliorating these tensions are being experimented with. These are illustrated by: conferences between law enforcement officers and prosecuting attorneys regarding "no-papered" cases; more direct interagency involvement during the investigation and prosecution of serious crimes; review of "no-papered" cases by law enforcement agency legal counsel with feedback as appropriate to investigating officers or, if warranted, re-presentation of such cases to prosecutors; and the aforementioned "coordinating council" interactions between criminal justice system agency heads.

A more indirect linkage exists between law enforcement agencies and the judicial systems in each respective jurisdiction. We found that law enforcement

officers are spending more time in court proceedings than heretofore. While we visited no agencies that had carefully analyzed this commitment of resources, it was a fairly general opinion expressed by administrators that more work-related time is being consumed. Some law enforcement officials expect the number of arrests and citations per officer to increase as more emphasis is placed on productivity. At the same time, intensifying concern for due process may place additional burdens on the system which slow the process of adjudication. These, along with other factors, lead us to regard court time as a significant human resource variable which should be watched closely and managed efficiently.

There are other less distinct linkages between the law enforcement agencies and the courts. Some of these are very court-specific in nature, frequently revolving around the reputation of a judge insofar as leniency or harshness is concerned. Dismissal of cases and the admission of evidence are other factors which influence the relationships between the law enforcement and judicial components of the criminal justice system.

Few linkages of a formal nature between the correctional component of the criminal justice system and law enforcement agencies were found with the obvious exception of sheriff's departments which operate longer term detention facilities. Some law enforcement agencies, having rearrested a number of repeat offenders, have moved in the direction of holding correctional systems more accountable by making recidivism statistics public and openly questioning the value of rehabilitative approaches to corrections, work release, educational release, and other methods used in corrections. We heard some law enforcement administrators advocate the provision of additional financial resources to the upgrading of correctional systems. One area where there is serious

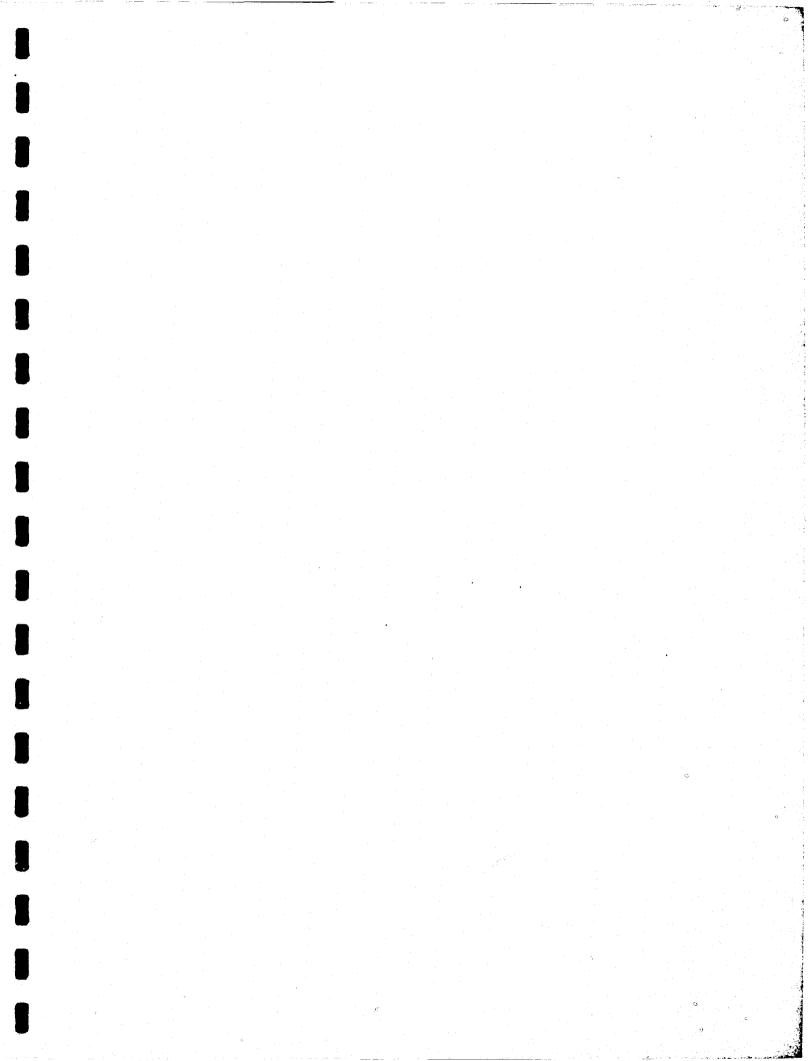
concern on the part of law enforcement officials is the lack of adequate supervision in probation and parole programs.

We think the "coordinating council" approach to bringing criminal justice agency officials together for constructive dialogue holds promise for the future, at least as a point of departure for the development of more refined linkages which might be deemed appropriate. Likewise, "planning councils" also have potential for bringing components of the fragmented criminal justice system closer together. To a large extent, the effectiveness of either of these approaches will depend on the commitment made by each participating agency official.

4. Personnel Distribution by Occupation and Function

In examining the personnel systems operative in the law enforcement agencies visited, data regarding the occupational and functional distribution of human resources were collected. These data reflect manpower distribution as it currently exists in these agencies, and as such, provide us with a view of how these agencies have invested the human resources at their disposal. Because of the highly structured, bureaucratic nature of these personnel systems, one might also project that little significant adjustment in these personnel systems will occur in the near future. To do so would require a major overhaul in the systems, and the likelihood of this occurring on a widespread basis seems remote.

We first take a look at the distribution of personnel by occupation. Table VIII-III-3 presents data reflecting the percent of total agency staff allocated to each of the nine key occupations selected for intensive study in connection with the National Manpower Survey as well as total sworn officers, traffic officers, and traffic supervisors. Data are presented by type as well as size of agency.



VIII - 4

Table VIII-III-3

Personnel Distribution by Occupation - Percent of Total Agency Staff

	Mu	nicipa Agen		ce		ty Pol gencie			nty Sho epartm		3	State Police Agencies	Breakout by Size of Agency				
Occupations	llems N=4	Z Medium-size	9 Large	11V N-17	Z Medium-size	Large	2 A11	7=1	Z Medium-size	Large	11V 2-4	N=7 Large	Z Small	Z Medium-size O	Large	TV N=25	
Total Sworn Officers (including supervisors)	70.1	70.6	66.8	67.2	62.8	81.8	76.5	72.5	82.0	77.9	78.1	72.5	71.1	70.4	72.2	72.0	
Police Executives	3.2	1.2	.4	.6	1.1	.3	.5	1.4	.9	.2	.2	.3	2.5	1.1	.3	.4	
Police Mid-level Managers	2.7	4.6	3.2	3.3	4.7	3.5	3.9	2.9	4.7	4.6	4.6	2.6	2.8	4.7	3.4	3.5	
Patrol Line Supervisors	10.7	8.6	6.0	6.3	3.9	11.0	9.0	2.2	6.6	13.0	12.4	6.0	7.1	6.7	8.1	7.9	
Patrol Officers	47.6	40.6	38.1	38.5	37.3	50.7	47.0	13.0	56.2	60.1	59.0	49.1	32.9	42.8	47.4	46.9	
Traffic Officers (if separate from patrol division)	1.6	2.0	3.5	3.4	0	0	0	0	0	0	0	0	.9	.9	1.4	1.4	
Traffic First Level Supervisors (if separate from patrol division)	.5	.3	.7	.6	0	0	0	0	0	0	0	.09	.3	.2	.3	.3	
Investigative Services Line Supervisors	1.6	2.1	1.5	1.6	1.4	1.5	1.5	2.2	8	1.5	1.5	1.7	1.8	1.6	1.6	1.6	
Detective/Criminal Investigators	5.9	9.7	8.4	8.5	9.2	5.3	6.4	9.4	6.6	5.7	5.8	8.7	7.4	8.9	7.6	7.7	
Police Legal Advisors	0	.2	.09	.1	.1	.1	.1	0	.2	0	.01	.03	0	.02	.05	.06	
Police Planners	.5	1.2	.:4	.5	.4	.1	.2	0	.8	.4	4	•2	.3	.9	.3	.4	
Evidence Technician/Crime Scene Analysts	.5	3.5	.6	.9	1.5	1.7	1.7	.7	2.4	0	.2	1.0	.6	2.6	.7	.8	

Source: Law enforcement Agency Report Forms data section completed by 25 of 31 agencies visited.

The percent of total sworn officers by agency size is rather consistent (Small: 71.1%; Medium: 70.4%; Large: 72.2%). When looked at by agency type, however, we find that county sheriff's agencies have a consistently higher percentage of their personnel sworn than do the other types of agencies. This is easily understood when we amplify this data by pointing out the tendency of sheriff's departments to staff their civil service processing and detention function with sworn deputies. One small sheriff's department appointed its entire staff as deputies, including clerical and administrative support personnel. Another point of interest is the percentage of sworn officers in large municipal police agencies (66.8%). This comparatively low percentage results from the more extensive use of civilian personnel and the need for greater numbers of clerical and other support personnel.

6

The percent of patrol officers within small agencies (32.9%) is distorted by the aforementioned small sheriff's department which included civil service processing and detention personnel in the total agency staff figure. With this agency removed, the percentage for the other four small agencies (47.6%) becomes much more consistent with the data found for medium-size (42.8%) and large (47.4%) agencies.

Tables VIII-III-4, 5, and 6 present data concerning personnel distribution by function. The percent of total agency staff is displayed by function for total agency personnel (VIII-III-4), sworn personnel (VIII-III-5), and nonsworn personnel (VIII-III-6).

The percent of total agency staff (sworn and nonsworn) invested in administrative functions, patrol, and auxiliary functions is rather consistent by agency size (Table VIII-III-4). As might be expected, we find that the large agencies invest more of their total human resources in traffic-related functions.

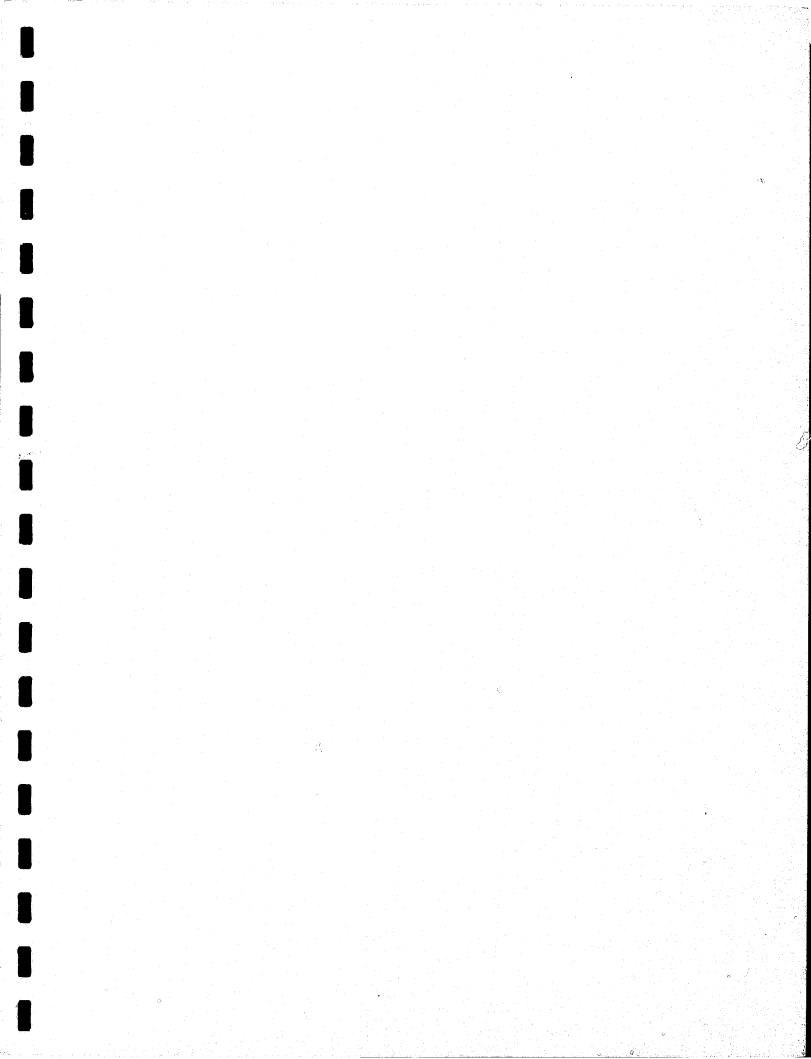


Table VIII-III-4

Total Agency Personnel Distribution by Function - Percent of Total Agency's Staff

	М	unicip Age	al Pol ncies	ice		nty Po gencie		С		Sherif: rtment:		State Police Agencies	Breakout by Size of Agency				
Functions	Smal1	Medium-size	Large	A11	Medium-size	Large	All	Small	Medium-size	Large	ALL	Large	Small	Medium-size	Large	117	
	N=4	N=7	N=4	N=15	N=2	N=1	N=3	N=1	N=2	N=1	N=4	N=2	N=5	N=11	N=8	N=24	
Administrative Functions (i.e., planning research, personnel, training, inspection, community relations, etc.)	7.2	11.1	15.7	14.6	5.0	8.1	7.0	13.5	17.4	10.8	11.2	2.8	9.2	9.8	9.7	9.7	
Patrol (i.e., walk, motor, tactical)	48.5	46.9	42.2	43.3	43.0	63.9	56.7	34.8	38.8	44.2	43.8	32.5	44.2	44.7	41.8	42.2	
Traffic (i.e., enforcement, safety education, etc.)	2.1	5.9	12.5	11.0	15.4	0	5.3	0	1.3	.04	.1	36.6	1.4	8.5	14.5	13.6	
Criminal Investigation (i.e., homicide, robbery, prostitution, narcotics, etc.)	6.7	14.4	11.5	11.9	11.4	10.6	10.8	19.1	11.4	10.1	10.3	13.9	10.6	13.0	11.7	11.8	
Juvenile	10.8	3.4	3.0	3.3	.6	0	.2	4.5	.7	0	.08	0	8.8	2.2	.9	1.1	
Auxiliary Functions (i.e., communications, records, identification, laboratory, etc.)	24.7	18.3	15.1	15.9	24.6	17.4	19.9	28.1	30.4	34.9	34.6	14.2	25.8	21.8	21.5	21.6	

Source: Law Enforcement Agency Report Forms data section completed by 24 of 31 agencies visited.

Table VIII-III-5

Sworn Personnel Distribution by Function - Percent of Total Sworn Staff

	1		pal Po ncies	lice		nty Po gencie		Co		heriff tments	's	State Police Agencies	Breakout by Size of Agency				
Functions	Tems 7-4	Medium-size	Large	IV N-1	Medium-size	Large	N-3	Z=1	Z Medium-size	Z Large	7 VII	z=z Large	Small	Medium-size	8 Large	11V N-23	
Administrative Functions (i.e., planning research, personnel, training, inspection, community relations, etc.)	5.4	8.1	11.4		5.1	3.7	4.1	10.0	13.7	13.1	13.1	1.0	6.7	8.0	8.0	8.0	
Patrol (i.e., walk, motor, tactical)	63.5	60.0	55.2	56.1	66.5	76.5	73.7	41.7	49.8	51.3	51.1	38.4	57.2	60.7	50.5	51.5	
Traffic (i.e., enforcement, safety education, etc.)	1.4	4.7	9.1	8.2	1.1	0	.3	0	1.3	.06	.1	43.1	1.0	3.0	16.2	14.8	
Criminal Investigation (i.e., homicide, robberty, prostitution, narcotics, etc.)	8.8	18.6	13.2	13.9	17.0	12.7	13.9	23.3	13.3	11.6	11.8	16.4	13.0	17.3	13.7	14.0	
Juvenile	8.8	2.9	3.1	3.2	.8	0	.2	5.0	.9	0	.09	0	7.7	1.9	.9	1.1	
Auxiliary Functions (i.e., communications, records, identification, laboratory, etc.)	12.2	5.7	8.1	7.8	9.5	7.2	7.8	20.0	21.0	23.9	23.7	1.1	14.4	9.2	10.8	10.7	

Source: Law Enforcement Agency Report Forms data section completed by 23 of 31 agencies visited.

Table VIII-III-6
Nonsworn Distribution by Function - Percent of Total Nonsworn Staff

	Municipal Police Agencies					nty Po gencie		Co		Sherif: tments		State Police Agencies	Breakout by Size of Agency				
Functions	Small	Medium-size	Large	A11	Medium-size	Large	ΥП	Smal1	Medium-size	Large	A11	Large	Small	Medium-size	Large	A11	
	N=4	N=6	N=4	N=14	N=2	N=1	N=3	N-1	N=2	N=1	N=4	N=2	N=5	N=10	N=8	N=23	
Administrative Functions (i.e., planning research, personnel, training, inspection, community relations, etc.)	12.5	12.2	28.7	25.2	4.8	30.5	16.5	20.7	30.3	3.5	4.9	12.6	15.6	10.6	16.1	15.3	
Patrol (i.e., walk, motor, tactical)	0	3.5	3.3	3.3	3.5	0	1.9	20.7	0	21.0	20.2	0	7.8	3.2	8.9	8.1	
Traffic (i.e., enforcement, safety education, etc.)	4.2	12.0	22.8	20.3	39.4	o	21.5	0	1.5	0	.06	O	2.6	22.9	8.1	10.2	
Criminal Investigation (i.e., homicide, robbery, prostitution, narcotics, etc.)	0	5.2	6.2	5.9	1.9	0	1.0	10.3	4.5	5.2	5.3	0	3.9	3.7	4.1	4.1	
Juvenile	16.7	5.8	2.8	3.7	.3	0	.2	3.4	0	0	.06	o	11.7	2.9	1.0	1.4	
Auxiliary Functions (i.e., communications, records, identification, laboratory, etc.)	66.7	61.2	36.1	41.6	50.2	69.5	58.9	44.8	63.6	70.3	69.6	87.4	58.4	56.6	61.8	61.0	

Source: Law Enforcement Agency Report Forms data section completed by 23 of 31 agencies visited.

This is a result of specialization which has occurred in large and some mediumsize agencies as well as the fact that two state agencies were included in the
sample. A more detailed discussion of this specialization is contained in
Section C where the implications of specialization are analyzed. Medium-size
municipal police agencies also report a higher investment of their human
resources in criminal investigations than do other types and sizes of agencies.
No obvious explanation for this was discernible. Since medium-size agencies
are the ones in which functional specialization begins to occur in criminal
investigations (e.g., burglary investigators, robbery investigators), one
possible explanation might be that as this occurs the percentage of total
agency staff committed becomes higher since the total staff figure is lower
than the larger, more diversified agencies.

There is less consistency in the distribution of sworn personnel by function found in the agencies visited (Table VIII-III-5). As might be expected, small agencies invest less of their sworn human resources in the performance of administrative functions (Small: 6.7%; Medium-Size: 8.0%; Large: 8.0%) but more in the performance of auxiliary functions (Small: 14.4%; Medium-Size: 9.2%; Large: 10.2%) than the other agencies. There are obviously fewer administrative positions in small agencies and the use of sworn personnel in auxiliary functions such as communications and records is greater in small agencies where civilianization has occurred less extensively than in the larger agencies. Whereas the investment of sworn resources by agency size in patrol, traffic, and criminal investigation varies considerably within function, when lumped together, the investment of sworn resources to provide these basic services is rather consistent by agency size. This obviously reflects decisions made by each specific agency insofar as the investment of their sworn resources is concerned. The relatively high percentage of sworn personnel

committed to traffic by large agencies derives from greater specialization in this area as well as the inclusion of two State agencies in the sample of large agencies. We again see the higher investment made by medium-size municipal police agencies in criminal investigations, but the explanation becomes no more clear than that suggested before.

The utilization of nonsworn personnel in the performance of administrative (Small: 15.6%; Medium-Sized: 10.6%; Large: 16.1%), auxiliary (Small: 58.4%; Medium-Sized: 56.6%; Large: 61.8%), and criminal investigative (Small: 3.9%; Medium: 3.7%; Large: 4.1%) is rather consistent (Table VIII-III-6). Within agency type and size, however, there is considerable variation in how nonsworn personnel are utilized. One major inconsistency is found in the percentage of nonsworn personnel resources invested in traffic-related functions by county police agencies. Both of the agencies in this category were extensively involved in the provision of school crossing guard services and reported those nonsworn personnel in this function.

B. MAJOR FACTORS AFFECTING MANPOWER STAFFING

In discussing manpower-related issues and concerns with executives and managers of the thirty-one law enforcement agencies visited, several major factors affecting staffing surfaced. These major factors will be discussed in this section, with more specific reference to certain of them as appropriate in other sections of this volume.

1. Budget

This factor ranks at the top of major factors affecting staffing in law enforcement agencies today. The delivery of law enforcement services is almost wholly dependent upon the human resources an administrator has at his disposal.

Eighty-ninety percent, and in some instances even more of some agency budgets are allocated to costs associated with personnel. In this highly labor-intensive service industry, the amount of money available to fund operations is, indeed, a most critical factor affecting manpower staffing. While the ranking of budget would be high even under normal economic circumstances, we think it important to recognize the criticality of budget to manpower staffing under the shrinking or static public sector funds being allocated to public agencies today.

An illustration of the affects being experienced can be seen in one agency where seven newly authorized crime analyst positions have been frozen for a year and never filled because of an across the board budget cut imposed by the governmental unit administration early in the fiscal year. The agency hopes to have funds to fill two of these positions during the next fiscal year, but their ability to do so will depend upon the budget allocated to cover the cost of services. The relationship of budget to staffing is clear in this illustration. Some agencies are facing the loss of positions. In preparing the proposed budget for the coming fiscal year, one rather large municipal agency administrator was required to present alternative staffing patterns for consideration by the Mayor's office should the agency's funds be cut beneath the current level. One way of living within the possible restricted budget in this agency was to propose that the traffic unit be abolished and sworn officers assigned to that unit be deployed where needed to maintain the current level of more necessary services. Obviously, the anticipated budget was a critical factor in this agency's proposed staffing pattern for the new fiscal year.

We learned of many such examples during our field site visits. Agencies of all sizes and types are affected. Almost all expect "no-growth" budgets for the near future.

2. Politics

Politics is another high ranking major factor which affects manpower staffing in law enforcement agencies today. In some instances, an agency's ability to operate effectively in the political milieu, indirectly affects staffing by being a key factor in the level of funding made available. Law enforcement agencies compete with other public service agencies for their share of public funds available, and doing so is often affected by political considerations. Politics can also directly affect staffing in a number of ways. Few law enforcement agency administrators have the final approval authority with respect to staffing. Most proposals for reorganization or the implementation of programs affecting human resources are considered by governmental unit executives and/or elected officials. Obviously, political considerations play a role in the strategies employed by law enforcement agencies to gain approval of many personnel-related proposals.

This is illustrated by one large law enforcement agency which decided to confront the political process head-on by releasing to the news media a letter to the governmental unit elected governing body in which nearly 1,000 new positions are requested. This move was necessitated by critical manpower shortages which resulted from the agency's working with the elected officials in "holding the line" on budget for the past two years. From the agency's perspective, the most effective strategy for overcoming these shortages and maintaining minimal levels of the various services provided was to take the issue to the public. The political orientation of this strategy is clear. On a smaller scale, but no less significant to the affected agencies, is the approval required of a governing body prior to reorganization or implementing new programs. This can be illustrated by what occurred in one agency which sought to form and staff a crime prevention unit which would include the

existing community relations unit. Political resistance was encountered, and the agency now has two separate organizational components doing closely related work with obvious duplication of management, supervision, and some staff.

Rational? Perhaps not, but political expediency is not always so.

3. Service Delivery Orientation

What we will call the service delivery orientation of a law enforcement agency can be viewed as another major factor which affects manpower staffing. It has been suggested that law enforcement agencies operate somewhere on a continuum which is represented as follows:

As with most continuums, few, if any agencies are found at either end. Some lean more heavily toward one end than the other and may at any time move either direction on the continuum. In doing so, manpower staffing is almost always affected in one way or another. Hence, the service delivery orientation of an agency becomes a major factor affecting manpower utilization and staffing.

The effects of this factor are illustrated by the proliferation of "community relations" and "crime prevention" units which have emerged during recent years. New staffing arrangements have resulted from these new services. Another is the expansion of the role played by law enforcement officers in mediating family and neighborhood disputes and defusing crisis situations. The provision of this expanded service has implications for staffing (if, for example, officers handling such situations are "out of service" for longer periods of time than before, a need for additional personnel could develop;

or, in some agencies, crisis intervention specialty units have been formed and staffed), as well as for training and other manpower-related issues. Still another illustration is the way in which agencies evaluate the delivery of their services and the resultant manpower effects. Some agencies are beginning to regard the crime rate as a futile measure of agency success or failure. In moving away from this orientation, some agencies have centered on other measures more directly under their control and more reflective of the total services they provide. In one large municipal agency, for example, the primary objective is to provide prompt response to all calls for service coming from the public. Field response units are deployed accordingly in this agency. Personnel utilization and staffing considerations have as their top priority the availability of a response unit at all times for all calls for service requiring the presence of a sworn officer. This community service delivery orientation has obvious effects on staffing. Agencies with heavy law enforcement service delivery orientation, on the other hand, will invest their resources heavily in activities more directly related to crime fighting.

4. Workload.

Another, perhaps more obvious major factor affecting law enforcement manpower staffing today is workload. The measurement and analysis of workload is
becoming much more sophisticated, even in the smaller agencies where more
attention is being paid to workload as a key factor in budget justification.
Agencies which have access to computer systems are using them extensively in
conducting workload analyses. Attendant to this greater sophistication of
workload measurement and analysis is the increasing influence of the resultant
data insofar as manpower utilization and staffing is concerned. With such
information available, agency executives and managers are able to make better
decisions regarding manpower-related issues such as beat configuration; deployment of tactical units; work equalization; and staffing patterns.

With respect to the future, it seems likely that greater emphasis will be placed on workload measurement and analysis as a tool for effective manpower utilization. One key factor contributing to this projection is the need for agencies to more carefully and effectively utilize their human resources during the current and perhaps lingering period of economic constraint. Increasing productivity requires that workload be accurately measured and thoroughly analyzed. Incident to efforts directed at increasing productivity will be a more critical look at the variety of functions performed by law enforcement agencies. This will be done with a view toward realigning priorities as required to provide the most needed services within the limited resources available. Workload measurement and analysis will provide administrators with objective data from which assessments and judgments can be made regarding the investment of human resources in the performance of certain functions. Section C contains a more detailed discussion of the relationship between the utilization of personnel and functions performed by agencies.

5. Law Enforcement Personnel

The perceptions of law enforcement personnel are another major factor affecting staffing. We found that law enforcement administrators are becoming very much aware of the need to give consideration to the impact of their major decisions on the personnel thereby affected. The autocratic style of "leadership" may have at one time been an accurate description of the way in which most law enforcement agencies were managed. This does not seem to be so today, however. In many instances, administrators are now faced with justifying their decisions—not only to the governmental unit executive and/or elected governing body, but to the affected personnel as well. One result has been what might be seen as a forced evolution to a more democratic style of leadership and management. Another factor may be the rise of more enlightened

executives and managers to top level positions who bring with them a greater degree of responsiveness and awareness of the needs of personnel.

Regardless of why, law enforcement personnel are extremely influential in matters pertaining to personnel utilization and staffing. This is true regardless of whether or not employees are formally represented for collective bargaining purposes by a union or other form of organization. Those represented by unions may present a more unified and, in some instances, a more forceful case in support of or against a given issue, but the power of nonorganized personnel should not be underestimated. Occurrences such as wives picketing in a protest over what is seen as an arbitrary decision to alter working hours or a number of officers calling in sick to protest the assignment of a woman officer to a preferred assignment are examples of how pressure can be exerted by employees.

Many agency executives and managers we interviewed described law enforcement personnel of today as more vocal than ever and much more in touch with their needs and willing to assert themselves when confronted with something disagreeable to them. This manifests itself individually as well as collectively. Some executives reflected on the past when young officers were anxious to fully commit themselves to the enterprise of law enforcement, working long hours without pay and exhibiting a great deal of enthusiasm and energy. These recruits of the past were also more willing to accept management decisions (or dictates) and abide by them without challenge. We found that this does not generally happen today when issues affecting personnel in a significant way are decided.

Several agencies have taken steps to get the people affected by decisions more directly involved in the process. Strategies such as participation on

task forces, employee attitude surveys, and employee suggestion programs are examples. We also found some breakdown in the traditional "chain of command" occurring with easier access to top level management allowed than in the past by a number of agencies.

The effects on manpower utilization and staffing are numerous. A good example is the successful resistance exerted by employees against a plan by the Chief of Police to implement team policing. This resistance came in many forms, including release of information to the press and the involvement of elected public officials whose support for the resistance was enlisted. The pressure ultimately led to abandonment of the plan for the time being.

6. Legal Restrictions

Legal restrictions must be included when discussing major factors affecting manpower staffing. In some instances, certain manpower-related issues are either mandated or proscribed by law or court decision. Obvious examples are court decisions regarding the representation of ethnic minorities and women and the Fair Labor Standards Act which imposes a number of requirements related to personnel.

C. ANALYSIS OF POLICE PERSONNEL SYSTEMS CHARACTERISTICS

The police personnel function and the management of police personnel are vital subjects in their own right. But the purpose here is neither to describe police personnel practices nor to study their effectiveness. Descriptive surveys and police personnel administration analyses can be found in the literature. The purpose here, rather, is to analyze selected characteristics of the police personnel system which presumably can have some impact upon two key variables; police manpower needs - both in number and kind, and the training and education of police personnel. Six personnel system

characteristics were selected for study; recruitment and selection, personnel utilization, career development and promotion policies, training and education policies and programs, labor management relations, and representation of women and minorities.

The personnel system analysis was conducted during NMS field visits to the 31 police agencies. Our analytical approach is based primarily on narrative data from semistructured interviews with cognizant police officials. Several different interview forms were constructed and used. A given interview was generally conducted for two hours with one or more cognizant officials. The identity of the forms and the types of officials generally interviewed are presented in Table VIII-III-7. Copies of the forms are presented in the Appendix.

1. Recruitment and Selection

Our interview items directed at recruitment and selection focused on several basic questions. To what extent, if any, and why are police agencies experiencing recruiting problems? Are recruitment difficulties a major contributing factor to any manpower shortages? If so, in what occupational categories? Are qualified personnel being hired? Is turnover a problem, and if so, can it be attributed in part to recruitment and selection policies?

Seven of the 31 agencies personnel officials reported problems in recruiting patrol officers. No agency reported difficulties in recruiting for two other key law enforcement occupational categories which can be considered entirely or partially entry-level; police legal advisor and police planner, respectively. None of the seven agencies was a small agency. The seven agencies are almost evenly divided in number between medium-sized and large agencies, but considering that twice as many medium-sized agencies

Table VIII-III-7
Personnel System Analysis Interview Forms and Cognizant Interviewees

	Agency Officials Interviewed ²				
Interview Form ¹	Chief Executive	Mid-Level Manager	Personnel Official	Training Official	Agency NNS Coordinator
Activities Checklist	a				ъ
Chief Executive Interview	а	ь			
Personnel Dept. Interview			a		
Training Dept. Interview				а	:
Utilization of Personnel Interview	Ъ		a		c
Role of Higher Education Interview	Ъ		С	a	
Formation of Employee Associations Interview	Ъ		a		•
Representation of Women and Minoricles Interview	ъ	•	a		

¹ Two forms, Technology and Innovative Policing Strategies, were not directly a part of the personnel system analysis.

² a, b and c denote primary, secondary and tertiary interview sources, respectively.

were visited, there is an apparent tendency for any difficulties in recruiting patrol officers to be associated more with the larger agencies.

For all but one of the seven agencies, the reason cited for the recruiting problem was difficulty in recruiting minorities. For the seventh agency, non-competitive pay in the labor market and inability to recruit college educated applicants were cited as the reasons. We shall examine in more detail in a later section the minority recruitment problem.

Neither minority recruitment specifically nor recruitment generally, however, appear to be a significant contributing factor in personnel shortages, if any. According to chief executive assessments of the adequacy of their staffing levels, three of the seven agencies purportedly have critical shortages, and in only one of these three agencies is recruitment, minority recruitment specifically, cited as a primary causal factor.

The police chief executives interviewed are generally satisfied that qualified personnel are being hired. Over one-half of the interviewees expressed the opinion that personnel hired at the entry level are better qualified today than those entering five years ago; only two chief executives thought that qualifications had deteriorated, and in the remainder of the agencies the interviewees had perceived no differences over the last five years. Explanations for why recruits might be better qualified now were varied, but one reason frequently offered by the interviewees was the higher level of education of today's recruits. This higher level is presumably a function of the general trend in the population toward higher education rather than a function of upgraded entrance standards since over three-fourths of the agencies still do not require any college credits (we do not have historical data on hand to check whether these agencies required and the

general population typically had less than a high school education or equivalency five years ago). A related factor is an agency's minimal age requirement. Over three-fourths of the agencies require an applicant to be 21 years of age before appointment. This requirement thus assumes that there is sufficient time for a college education to be acquired. There is also, of course, sufficient time for other developments and thus increased maturity and broader work experiences and background were other reasons often cited for perceptions of improved qualifications. Whether maturity is due more to a higher level of education or more to increases in the age requirement is unclear since we do not know which specific agencies may have changed their age standards. A few of the agencies have made repeated changes in their minimal age standards over the last five years or so and there seems to be no unanimous opinion among the other agencies as to what the best or most valid, job-related standard should be.

The present economy was also frequently cited as a possible explanation for the perceived improvement in qualifications. The recession has generally produced more favorable selection ratios so that agencies can skim the "cream off the top." While a higher selection ratio does not require as valid a screening or selection procedure, improvements in these procedures were occasionally offered as explanations.

Slightly over one-fourth of the chief executives had either perceived no changes over the last five years or were equivocal as to whether changes perceived could be summed up as better or poorer qualifications. Given the general deficiency of police performance standards and appraisal systems, and the paucity of evidence on the job relevance of qualification requirements and validity of assessment procedures, it is rather surprising that more uncertainty over the question was not expressed. In two of the agencies

visited, interviewees held the opinion that recruits today are less qualified than five years ago because of lowered or relaxed standards and/or the changing composition of the community from which recruits are drawn.

Another perspective on the matter of qualified recruits is the experience of agencies with probationary officers. An abnormally high or low drop-out rate of officers during the probationary period might be symptomatic of increasing numbers of poorly or highly qualified recruits. An examination of drop-out rates revealed a range of experiences among the agencies with their probationary officers. Rates ranged from no drop-outs during the most recent 12-month period to a maximum of 38% termination during that time period. There were no drop-outs in slightly over one-third of the agencies. The average rate was slightly under 10 percent.

Of the two agencies cited above in which interviewees thought today's recruits are less qualified, one had a zero drop-out rate, while the other had one of the six highest rates (approximately 20%). Opinion ran somewhat in favor of a perceived improvement in recruit qualifications among the other five agencies with the highest drop-out rates. Among the agencies with zero drop-out rates, with the one exception mentioned above, opinion was unanimous that recruits today were better qualified. Among the agencies with drop-out rates near the average, the majority opinion was that today's recruits are better qualified. Recruit qualifications, therefore, do not appear to be an influential factor in an agency's drop-out rates of probationary officers (admittedly, if trend data were available on drop-out rates a more reliable assessment of their relationship to changes in recruit qualifications could be made). Drop-out rates among the agencies visited also do not appear to be related to differences in length of recruit training, length of the probationary period, entrance standards or size of agency. There may be

qualitative differences in such factors as training content and method which account for different drop-out rates or their causes are intrinsic or peculiar to the individual agencies.

Police personnel turnover was cited as a problem by only four of the agencies visited. The current economy and employment market were often cited by interviewees as possible explanations for lower than normal turnover.

No single reason dominated explanations offered by interviewees in the four agencies with reported turnover problems, although recruitment and selection policies, salary and promotion opportunities were among the several factors offered as explanations in two of the four agencies.

2. Utilization of Personnel

With rare exception, police personnel systems in the agencies visited reflect a growing awareness of the importance of human resources in the provision of police service. The significance of this growing awareness comes into focus when we consider the critical dilemma created by the combination of factors such as increases in the level of crime, increasing demands for more and better public services, more vocal, and in some instances, militant public workers, and the limited financial resources available in the public sector. The tensions generated by these forces have, indeed been exacerbated by the nation's current general economic conditions.

Law enforcement administrators of many agencies have moved in the direction of maximizing the effectiveness and efficiency with which police services are delivered through various programs and approaches that have affected the ways in which agency personnel are utilized. Another, and no less significant stimulus, which we observed in a number of law enforcement agencies, comes from the availability of external funding (State, Federal, or, to a lesser

degree, private) to support such programs. It should be recognized, of course, that these two stimuli are not necessarily exclusive of each other. In many instances they serve to complement one another and, combined with other positive stimuli, result in experimentation, innovation, or change in the utilization of law enforcement personnel.

Other strong forces are at work which help make this happen. It is estimated in the contemporary literature that most law enforcement agencies expend from 80 to 90 percent of their budgets for personnel. This was substantiated by the data from the agencies at which NMS field site visits were conducted. With 30 of the 31 agencies reporting, the median percentage of agency budget appropriations absorbed by salaries and the cost of fringe benefits was 84.4 percent (the range was from 71.7 percent to 94.8 percent). Since most of the agencies included in the study indicated that they are currently confronting a myriad of problems associated with shrunken public sector financial resources, it becomes obvious that the attention directed on the effective utilization of manpower also derives from a clear need to do so: Even though the agencies visited are operating below what they regard as optimum manpower strength levels, the most frequent opinion expressed was that little, if any, growth the next one or two years can realistically be expected. Whether strong forces (such as citizen concern over the rate of serious crime or negative citizen reaction to service cutback) appear and exert sufficient pressure to override the current prevailing economic restraints on increasing the number of law enforcement personnel in these agencies cannot be predicted. This is, of course, a possibility. In the meantime, however, some agencies find themselves being forced to cut their budgets for the current year; others are anticipating "no growth" or decreased budgets for the coming budget year; and even those not immediately encountering these limitations reflected a strong sense of

responsibility to maximizing the public's return on its tax dollar. Because law enforcement is so labor intensive, the most productive means of addressing these budgetary problems are those related to more effectively utilizing the most costly resource—personnel.

For purposes of the NMS, the extent of our examination of the current state of law enforcement personnel utilization was limited to strategies implemented within the last three years which could be categorized as follows:

- any new forms of specialization;
- significant increases or decreases in the number of nonsworn personnel utilized by the agency; and
- any new functions which agency personnel are required to perform.

 The discussion which follows centers on these three areas of primary concern,
 but also includes less systematically gathered data concerning manpower

 utilization strategies not falling within these categories. One such strategy,
 for example, is the utilization of what is generally referred to as "reserve"

 or "auxiliary" police personnel.
- a. <u>Specialization</u>. There is a great deal of diversity with respect to the degree of specialization found within the 31 law enforcement agencies studied. As might have been expected, we found that the smaller agencies are less inclined to develop specialized organizational components, even though the range of functions performed by smaller agencies generally was very nearly the same as that performed by the larger agencies. The medium-sized and large agencies studied utilize specialized personnel much more extensively. The degree of specialization within these larger agencies varies considerably, however, as does the ways in which specialized personnel are utilized.

Decisions made with respect to specialization were found significantly to affect the way in which agencies were organized as well as staffing patterns. The creation or elimination of specialized units is something that has been considered by virtually every law enforcement agency administrator we contacted, with the exception of those managing the smallest agencies, who indicated that the demand for services did not justify such consideration.

One of the most significant discoveries for us was that there seems to be a growing trend to question the value of specialization and seriously to consider the elimination of specialized units. This trend is fueled by shrinking budgets as well as a greater awareness that earlier decisions made with respect to specialization may not have taken all of the implications of such a move into consideration. One of the most frequently mentioned areas of specialization being considered for elimination by some of the larger agencies was traffic. One of the most important factors cited for critically examining the value of maintaining a specialized traffic unit was the need for additional human resources to respond to citizen calls for service and to man patrol assignments. One gets a clear impression that today's law enforcement administrator can no longer realistically expect to receive authorization for additional numbers of personnel as easily as before. Consequently, many agencies find themselves faced with taking steps to meet demands within current levels of human resources, or, in some cases, decreased levels. Specialized units become a prime source of additional manpower to meet basic needs in such situations.

On the other hand, we found certain new forms of specialization that have emerged during recent years. Within the agencies studied, we found new forms of specialization occurring in the following areas:

- Crime specific teams or units;
- Special operations;
- Community services not directly related to the enforcement of laws;
- Support services; and
- Traffic (small and medium-sized agencies)

Before proceeding with the discussion of these areas of specialization, we think it important to point out that their formation has been stimulated by the availability of federal funding to offset the majority of costs associated with doing so. Some of what we learned even suggests that the availability of outside funding is a more important stimulus than need. Since most of these new forms of specialization require additional human resources, some agencies have found it strategically advantageous to use these funds to form such specialized operations, with the attendant increase in positions required to staff them. Once having acquired approval from the city council, county board of supervisors, state legislature, or other appropriate body to accept these funds and form the specialized operation, it becomes the expectation that the cost of these "additional" positions will be absorbed by the governmental unit when the outside funding expires. In some instances, we found that a commitment to this effect had been part of the decision to seek or accept the outside funding. Hence, doing so becomes a strategy for increasing the number of authorized positions in the future as well as addressing the immediate "need" for the specialized operation. Furthermore, the additional human resources funded by outside funds are often used to relieve existing organizational units of a considerable amount of activitiy, e.g., a residential burglary task force obviously relieves burglary investigators of some activity.

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- Crime specific teams or units. This area of specialization refers to those organizational components assembled for the purpose of combatting specific crime(s). Burglary and robbery were the most frequent targets of such teams or units in the agencies studied. One often heard that a problem associated with such specializations was loss of flexibility in the utilization of personnel assigned to these teams or units. This apparently stems from a common expectation that such personnel be dedicated to accomplishment of the goals and objectives of the project. It was not unusual to hear an administrator express a desire to exercise greater flexibility with respect to these personnel as conditions change during the grant period. One agency attempted to overcome this shortcoming by proposing an Anti-High Impact Crime Task Force which could be more flexible since it would not be restricted to one specific crime such as burglary, robbery, or rape.

- Special operations. This subsumes the formation of specialized units such as Special Weapons and Tactics (SWAT) teams; bomb squads; civil disturbance units; canine units; and a variety of other approaches to dealing with specific needs by law enforcement agencies. The formation of such units has been very popular during recent years. Many of these types of specialization have existed in larger law enforcement agencies for some time. We found that medium-sized agencies are those in which the formation of such units is now taking place. Within these agencies, it is not unusual to find that the generalist/specialist concept is applied. Since the demand for some of these specializations is not sufficient to warrant a group of personnel wholly dedicated to the effort, we found that agencies will select personnel from various elements of the agency to perform the specialized functions when required. In other words, the specialized team or unit will be mobilized when needed and will draw upon personnel who have been trained as specialists but who perform generalist police officer functions at other times.

- Community services. Services to community that are not directly related to law enforcement is an area of specialization in which there is currently a lot of activity and interest. Within the agencies studied, we found this activity concentrated in youth services, crime prevention, and community relations. We also found this activity in agencies of all sizes, with even the smaller agencies undertaking such programs. The degree of specialization is of course less in the smaller agencies, but, as in the larger agencies, specific personnel are designated to perform functions associated with these activities.
- Support services. This includes specializations in areas usually referred to as supportive of law enforcement line operations. We found that mediumsized agencies are currently the most actively involved in specializing certain support services. Specifically, we found this occurring in planning and research, collection and preservation of physical evidence, coordination of training, and legal advice. As was true in special operations, the specialization of support services has existed in larger agencies for some time. phenomenon now seems to be concentrated in medium-sized agencies where the need for such activities has been more clearly defined and firmly established. Smaller agencies are not currently involved, and, because of limited resources may not be in the near future as individual agencies. Consequently, smaller agencies have no such services, less refined or sophisticated services, or special arrangements whereby the required services can be acquired as needed, e.g., regional evidence technician units or agreements with other area agencies that have the needed expertise. In medium-sized agencies, however, we found considerable activity and interest relative to such specializations. Agency administrators rather consistently expressed the need for in-house planning and research capability as well as access to police legal advice. A number of medium-sized agencies had also recently established a position dedicated in

large part to the development and coordination of entry level and in-service training. Neither was it unusual to find recently established specialized units which had been formed for the purpose of collecting and preserving physical evidence. The availability of outside funding was found to be a significant factor in the formation of these specializations, with exception of the training coordinator function, which was generally funded from agency resources.

- Traffic specializations. These were most frequently found to be occurring in small and medium-sized agencies. This is, in and of itself, an interesting phenomenon, especially when we consider the view expressed by administrators of larger agencies confronted with financial resource limitations that the traffic specialty becomes one of the first expendable sources of additional personnel to meet other, more pressing service needs. One explanation might be the availability of outside funding to small and medium-sized agencies for the support of traffic-related specialized units. A number of agencies had been able to capitalize on the availability of funds (usually from the U.S. Department of Transportation) to acquire equipment and support the cost of personnel for traffic-related specialties. These were found to be traffic control, accident investigation, traffic law enforcement, and, in a number of instances, specialized programs directed at the detection and apprehension of persons operating motor vehicles while under the influence of alcohol. Access to Department of Transportation funds is a major stimulus for pursuing specialized activities related to traffic. We do not know whether these specializations will continue when the outside funding ceases, but one might project that small and medium-sized agencies, like their larger counterparts, will too find the traffic specialities expendable when resources shrink and needs escalate further. It is likely, however, that a

considerable amount of residual benefit will result because the Highway

Safety Act provides for traffic-related standards which must be met by jurisdictions who accept federal funds.

With respect to the future, we find it impossible to make a credible generalized projection of whether the degree of specialization within police agencies will change significantly. Responses to this question varied considerably. One observation that we feel comfortable making is that the degree of specialization is, to a large extent, influenced by the resources available to support the specialization. To a lesser extent, need is also a factor, but an agency's ability to meet the need through the formation of a specialized organizational component requires resources. Obviously the need for the concentrated investigation of certain crimes, community services of a nonlaw enforcement nature, certain kinds of support services, and other kinds of activities will continue to exist. If not met through specialization, they will be met in other ways.

b. <u>Civilianization</u>. Civilianization is hardly a new concept as a police manpower alternative. After World War II, the lack of manpower to handle the problems created by increasing population made the use of civilians in police work essential. As one department would report satisfaction with what was at that time an "innovation," others would follow. Cost pressures to civilianize police personnel systems have also been traced to the urban population boom after World War II when growth in the numbers of police personnel to meet the need for more services was often deterred by tight city budgets and job competition from the private sector. Consequently, many law enforcement agencies began to replace sworn officers in specialized jobs with nonsworn personnel—and the trend has continued at a steady pace ever since. 4 By 1972,

the proportion of civilians had nearly doubled—to 13.2% over that found in 1950 (as reported in the <u>Uniform Crime Reports</u>, published by the Federal Bureau of Investigation). A 1972 survey of all state, county, and municipal police agencies in the United States having fifty or more sworn police personnel which was conducted jointly by the International Association of Chiefs of Police and the Police Foundation (of 668 jurisdictions surveyd, 493 or 74% responded) revealed that a total of 39,137 nonsworn personnel were employed in these agencies for an average per agency of 80 each (38 male; 42 female). 5

According to an Urban Institute study, the trend toward greater use of civilians in police work results from four primary factors:

- the need to control costs yet improve service to citizens;
- expert opinion supporting the need to use civilians for low skilled "routine" tasks and for specialized jobs;
- federal and state encouragement of civilianization; and
- specific programs aimed at increasing the use of civilians.6

Twenty-six of the 31 law enforcement agencies we visited are currently utilizing civilian personnel to fill positions traditionally occupied by sworn personnel. The most frequently cited examples of positions civilianized in these agencies were:

- Communications personnel (complaint receivers and radio dispatchers);
- Records and identification personnel;
- Parking and traffic control personnel; and
- Retention facility custodial personnel.

Twenty-three of the 26 agencies involved in civilianization expect that the number of civilians utilized in their personnel systems will increase in the future. The size of the agency did not seem to be a significant variable in

determining whether civilianization might be an appropriate thing to do. Administrators of the smaller agencies as well as their counterparts in medium-sized and larger agencies tended to recognize the value of utilizing civilians and, for the most part, were receptive to the idea of doing so.

There is a growing recognition that sworn status is nothing more than the granting of certain law enforcement related powers which are required in connection with the performance of certain law enforcement functions. One might foresee the day when sworn status is attached to positions rather than people in an agency. It does not appear likely that this will generally happen in the near future, however, since doing so would require major adjustments in the highly bureaucratic personnel systems which currently exist. It may, however, be the ultimate outcome of the struggles being experienced with civilianization today.

A number of significant manpower-related issues surfaced in our exploration of civilianization:

- One strategy for increasing the total number of authorized positions (sworn and nonsworn combined) has been for agencies to propose the civilianization of certain positions with no decrease in the number of sworn positions. One large agency reported that this approach had backfired on them, resulting in a decrease in sworn strength which was sorely needed to meet demands for service. The net effect was that no additional personnel were acquired and the cadre of sworn officers assigned to functions not requiring sworn status was reduced considerably. Hence, the pool of sworn personnel available for deployment to meet special circumstances was decreased.
- The initial cost savings which may accrue to agencies which civilianize certain positions is seen by some as a short-term savings which can be

expected to dissipate. Nonsworn personnel, occupying positions formerly occupied by sworn personnel whose pay and fringe benefits were considerably higher, can be expected to exert pressure to close the gap. This is particularly true in agencies where nonsworn personnel are performing work very similar to that performed by sworn officers (e.g., planning and research functions) for lower pay or fringe benefits. - Training of nonsworn personnel to perform functions formerly performed by sworn officers has presented some administrators with problems. Usually, some form of orientation-type training is considered desirable, but is difficult to develop and present. One example of the negative aspects of insufficient training for nonsworn personnel can be seen in communication where civilianization has been quite popular. agencies have elected to train the new communications personnel by the same method generally used to train sworn personnel for such positions-on-the-job coaching, with close supervision until proficient. For the sworn officer, with a greater awareness of the agency and in many cases field experience, this may have been an adequate training method. For a person completely unfamiliar with the agency and police operations, however, many insufficiencies in this approach have been recognized. The expectations of sworn officers in field units, unfortunately, remain at the same level as before and it is not unusual to hear field officers express dissatisfaction with the communication services provided by the civilian personnel--". . .they just aren't as capable or don't understand our needs as well as street-wise, sworn dispatchers." Consequently, we found some agencies reconsidering their decision to civilianize the communications staff. One approach to help ameliorate the negative effects has been to staff the

communications center with sworn supervisory officers who closely monitor the nonsworn personnel. A heavier investment in the training and preparation of nonsworn personnel might also have been an effective alternative.

- Turnover of nonsworn personnel can be expected to be greater than that of sworn officers. There is a growing awareness of this potential problem, and some agencies are beginning to analyze turnover of nonsworn as well as sworn personnel more closely. The cost of turnover is a factor which needs to be considered in police personnel management. We expect law enforcement agencies of all sizes to become more sensitive to this, especially if public sector budgets continue to shrink.
- We learned that career progression for nonsworn personnel is an important factor which is often overlooked as agencies embark on civilianization. When asked about civilian career progression, it was not unusual to hear agency administrators respond as if they expect nonsworn personnel in certain positions to be career people in those jobs. Is it realistic to expect a young man or woman to remain satisfied as a radio operator for an extended period of time? What about the well educated person employed in a planning and research unit? We think it advisable that agencies develop career ladders which take the needs of nonsworn as well as sworn personnel into consideration. The costly evils of job dissatisfaction and turnover would seem to warrant this.

Despite such issues, based on our own field analysis and the growing literature on the subject, we believe there will be continued growth in the utilization of civilians in police work.

c. <u>Functions Performed</u>. Our field analysis of functions performed concentrated on those recently added to or deleted from an agency's responsibilities. We found that the medium-sized agencies were the most active in functional changes, having on the average undertaken or been assigned an additional two functions within recent years. The small agencies tended to shun additional functions. The large agencies already had absorbed most of the range of standard functions possible, although there, too, some functional growth was evident (with an average of 1.6 functions added compared to 2.3 additional functions for the medium-sized agencies). Only a few of the agencies visited reported that they had recently discontinued any functions, although there was a tendency for the larger agencies to be questioning whether some of their functions should be retained and discontinuing some of them.

We found the types of functions involved, whether new or discontinued, to be extremely diverse, with little commonality across agencies. This diversity can be illustrated by the following examples of functions which had been added.

- internal affairs investigations
- animal control
- enforcement of nuisance ordinances, e.g., junk auto or weed control ordinances
- planning and research
- polygraph examination
- crime prevention
- physical security of municipal/county buildings
- youth services, including counseling and diversion
- school liaison
- emergency medical care

The few functions discontinued were equally diverse:

- delivery of mail for the city administrative offices, e.g., to the residences of city councilmen
- motorcycle patrol
- traffic specialty unit
- security checks of residences
- vehicle towing and impoundment
- receipt of night service calls for other governmental unit departments
- custody of arrested persons after completion of the booking process

Within this diversity, we did find a few functions which had recently been added by more than one agency, and this finding, coupled with the interview data gathered concerning the intentions expressed by administrators in the other agencies toward these particular functions lead us to make the following observations:

- We can expect to see continued formalization of planning and research within law enforcement agencies. Organizational components will be formed and staffed with a mixture of persons with operational backgrounds and planning/research expertise. These components will become particularly important to agency executives who will increasingly rely on them for information required to make decisions. This trend will not be restricted to larger agencies. Medium-sized as well as small agencies will recognize the need for planning and research capability.
- Law enforcement agencies of all sizes will be adopting crime prevention as a high priority goal. In many agencies, what has been popularly referred to as police-community relations will be subsumed under a

newly formed crime prevention unit. These units will be staffed primarily by experienced sworn officers who will receive specialized training in aspects of crime prevention and physical security. Paraprofessionals such as cadets or public service aides will also play a key role in crime prevention activities.

- We think it likely that an emerging position usually called administrative or executive assistant to the chief of police will grow in popularity. Large agencies have had such positions for some time. Small and medium-sized administrators are now recognizing the value of having a key staff person available to perform a variety of functions. In some smaller agencies, for example, persons filling such positions may be involved in planning/research activities, grantsmanship, coordinating and conducting internal affairs investigations, writing correspondence, representing the chief executive, maintaining budgetary controls, dealing with the news media, and various other administrative/support activities desired by the chief executive. We found this to be a key position in agencies where it exists today. It's staffing is difficult to predict, but it seems likely that a person with administrative skills will be desired. Some agencies have found it best to recruit from outside the agency for persons to fill these positions. This is seen as one way of acquiring expertise which might not be available within the agency.
- The interest in the polygraph as an administrative tool continues to grow. We think it probable that the demand for trained, polygraph examiners will increase in the future. Small as well as medium-sized agencies will contribute to this demand. The use of the polygraph in personnel administration functions such as selection and internal

investigations is becoming more widespread. We found that most agencies expressed a preference for having an in-house polygraph examiner rather than using outside specialists on an as needed basis. One approach has been to provide polygraph training to personnel who perform other functions as well. In one agency of approximately 200 sworn officers, for example, the polygraph examiner also recruits applicants and is a trainer in the basic training program.

- Some ancillary functions (those not critical to the central function of law enforcement) may be deleted and personnel reallocated to meet more pressing needs. Some agency administrators view their current budget limitations as advantageous for it compels a redefinition of priorities as agencies find it more difficult to meet the demands for basic police services. This may, we believe, result in a more realistic and practical view of the police role as agencies divest themselves of ancillary functions and carefully examine the manpower costs of any proposed new functions. On very generic terms, we see the following functions remaining as high law enforcement agency priorities in the foreseeable future:
 - response to citizen calls for service;
 - law enforcement (detection and apprehension of law violators); and
 - crime prevention

If, in fact, a "no growth" climate prevails for the next one or two
years insofar as law enforcement budgets and concomitantly the number
of personnel are concerned, it seems likely that we will see more adjustments of priorities taking place as administrators are forced to juggle
manpower to meet the demands for high priority services. Attendant to
this readjustment of priorities will be more widespread recognition

that law enforcement agencies cannot be held accountable for the crime rate, regardless of whether you are talking about the reported crime rate or crime rates determined by victimization surveys. Some feel that once the awesome responsibility for the rate of crime is removed from law enforcement agencies, administrators will be able to more clearly define goals and develop productivity measures. An example is seen in a large, metropolitan agency where the highest priority is providing timely response to citizen calls for service. While the total number of sworn officers in this agency has decreased during the past three years, this focus on meeting the public's demand for police services has resulted in a +40% increase in the number of patrol response units available for calls. To accomplish this, certain functions were eliminated. The biggest of these in this agency was motorcycle patrol. A few other agencies, looking for more personnel to meet basic needs, have eliminated traffic specialty units, ceased activities such as vehicle towing and impoundment, cut back the number of sworn officers in staff and support activities, and transferred some functions such as parking law enforcement to other governmental unit agencies.

d. Reserve or Auxiliary Police Units. The utilization of reserve or auxiliary police units is a controversial one to say the least. There doesn't seem to be much of a "middle of the road" position on this issue. Administrators of agencies having such units are highly supportive of them and feel they contribute significantly to the ability of these agencies to meet the demand for services. A high degree of resistance, however, is found among administrators of agencies which have not formed such units. One of the key elements of this resistance centers on the lack of professionalism generally felt to characterize reserve or auxiliary police programs. Whether this

resistance will be lessened in the future is unpredictable. What we did learn about the utilization of reserve or auxiliary police units and the emphasis some place on them as "professional" might provide those resistant to this concept with a different perspective.

Those agencies with reserve or auxiliary police units have become reliant on them as a pool of human resources at their disposal. We found that municipal police as well as county sheriff's agencies have initiated such programs. In most cases, reserve or auxiliary personnel are sworn, and receive no compensation. In some instances, such officers receive a small hourly wage or a token stipend of, for example, \$1 per year. This allows them to be covered by workmen's compensation benefits. Such officers are used to perform a variety of functions. One large, county law enforcement agency has patrol reserve companies headquartered at each of its 16 field stations (with a fulltime reserve coordinator at each station); an administrative reserve company; a technical reserve company (photography, collection of evidence, etc.); and a medical services reserve company. The reserve complement of over 1,000 personnel is an important resource to this agency. During recent years, selection standards and training requirements for reserve or auxiliary officers have been upgraded considerably. Many agencies have adopted selection standards which are the same as those applied to fulltime sworn personnel. Identical screening procedures and background investigations are likewise used with increasing frequency. Training programs have been devised which provide the same entry level training to reserve or auxiliary officers as that received by fulltime recruits, but on a less intensive level. These training programs are generally conducted during evenings and on weekends so that reserve or auxiliary trainees can attend without disruption of their work schedules. In the aforementioned agency, reserve

officers receive over 350 hours of academic presentation which is designed to impart the basic knowledge required of law enforcement officers. Similar focus on the upgrading of selection and training of reserve or auxiliary officers was found in several agencies visited which have such programs.

We found that the role of reserve or auxiliary officers is generally very similar across agencies using such personnel. Usually, the role is limited to that of providing assistance to regular officers. Such assistance might range from patrolling with regular officers as the "second man" in a two-man response unit to providing traffic and crowd control at special events such as parades, athletic events, etc. Only in a very few instances did we find agencies in which reserve or auxiliary officers perform as if they were regular officers, e.g., by being assigned responsibility for patrol of a beat or sector. It is generally felt that such assignments are beyond what should be expected of officers who do not perform law enforcement functions on a fulltime basis.

In no instances did we talk with administrators of agencies having reserve or auxiliary programs who said that the existence of such officers decreased the number of fulltime personnel required to meet the demand for services. However, many of these same administrators cited the significant number of manhours provided by reserve or auxiliary personnel with little, if any, cost. Some said that without the reserves, certain ancillary functions such as security at sporting events and traffic control at parades would have to be dispensed with or decreased. If we were to thoroughly analyze the impact of reserve or auxiliary officers on personnel utilization, we think it likely that it would be significant. We found no agencies that were looking at their utilization of such personnel with this level of sophistication.

We think it probable that the upgrading of reserve or auxiliary police officer selection standards and training requirements will continue and may result in the more widespread use of them as a pool of human resources. One administrator who is contemplating a reserve officer program indicated that if he establishes it, the standards will be the same as that applied to fulltime officers. We think this sets the tone for the kind of reserve or auxiliary programs we can expect to see in the future.

e. <u>Paraprofessionals</u>. In 1967, the President's Commission on Law Enforcement and Administration of Justice recommended that law enforcement agencies create the position of Community Service Officer. As envisioned by the Commission, CSO's would be young persons, typically between the ages of 17 and 21, who possess the aptitude, integrity, and stability to perform police work. In effect, CSO's would be apprentice police officers—an entirely new type of police cadet working on the street under close supervision and in close cooperation with regular officers.

This conceptual model of the utilization of paraprofessionals by law enforcement agencies has been slow to gain acceptance. Perhaps the Commission's recommendation was a few years ahead of its time. While we found few of the agencies visited in which full blown programs of this nature had been implemented, we are left with the general impression that there is significant interest in creating paraprofessional positions and integrating them into existing personnel systems. People occupying these positions could be called cadets, public service aides, community service officers, or some other appropriate title. This interest has been stimulated by a number of factors, the two most important of which seem to be (1) the availability of outside funding to support such programs and (2) recognition that police officers are overburdened with many activities not directly related to law enforcement. As we

see greater emphasis in productivity, and as we more precisely delimit police officer jobs, more agencies may begin looking at paraprofessionals as a part of their staffing component. Another factor, which needs to be analyzed more carefully in our estimation, is the opportunity for agencies to use paraprofessionals "apprentices" from whom regular police officers could be selected. While we have heard many positive comments regarding the desirability of promoting qualified lower level personnel with agency experience to police officer positions, few agencies have invested enough in paraprofessional positions for this to happen to any great extent.

An example of how paraprofessionals can be utilized on a relatively large scale can be seen in a program implemented recently by one agency visited. This program, funded by LEAA and revenue sharing funds, offers police apprenticeships to young people from 18 to 20 years of age. The stated objective is to recruit the paraprofessionals into the regular police force when they reach the minimum age of 21. These paraprofessionals perform a variety of duties such as:

- traffic control and direction;
- walking of downtown beat assignments as a source of public information and assistance;
- accident investigation;
- report taking, e.g., bad check reports, vandalism reports, preliminary burglary investigation reports, and larceny reports where no suspect is known;
- crowd control at special events such as parades and sporting events;
- providing aid to the sick and injured; and
- referring citizens with problems to appropriate agencies.

With paraprofessionals handling the bulk of such duties, regular police officers can devote more time to preventive and investigative activities.

Fifty-five paraprofessionals are currently employed by this agency of just over 1,000 total personnel. Special emphasis is placed on recruiting minority group members and women for these positions. The selection process includes medical, intelligence, and physical agility tests. Those who are accepted then attend an intensive, ten-week training course at a regional criminal justice training center where topics such as basic law, patrol operations, and human relations are presented to them. Nine semester hours of college credit are earned for this training. Before being given field assignments, new paraprofessionals participate in a seven-week in-service training program within the agency during which they rotate through the various departmental units and learn the basic operating procedures of each division. Time is also allocated for them to ride with senior police officers as observers during this in-service training period.

Paraprofessionals in this program work 30 hours a week at \$3 an hour while pursuing an associate degree in law enforcement on a part-time basis at a local college. Some tuition assistance is provided by the agency. They are not armed and do not have arrest authority. Specially marked patrol vehicles are used and radio communication is maintained with the dispatcher.

These paraprofessionals handle approximately 200 calls a week. During 1975, they responded to 80 percent of the nonenforcement type of call for service. They are assigned to areas which computer print-outs identify as having the greatest number of calls for service. When not out of service on a call, these paraprofessionals contact business people and

residents in their assigned areas to talk with them regarding crime prevention and elicit suggestions on how police services can be improved. Of the first 40 paraprofessionals to enter the program, seven have become police officers upon reaching their 21st birthday.

Departmental management views this program as highly successful. It is estimated that 35 sworn officers would be required to maintain the same level of service if the program did not exist. Resistance from regular police officers was felt when the program was first implemented, but this was overcome in a short period of time. It is not unusual for regular officers to request the assistance of the paraprofessionals for certain kinds of activities. The availability of this type of assistance has led to acceptance of the paraprofessionals throughout the department. While most are assigned to duties that assist patrol officers, the commander of criminal investigations is proposing that a small number be assigned to assist investigators.

As we stated before, interest in this approach seems to be increasing. The initial skepticism over the community service officer concept as proposed by the President's Commission may be overcome as agencies such as the one illustrated here experience success with similar programs. Undoubtedly, one of the key factors will be the continuing availability of funding to seed these programs.

3. Career Development and Promotion Policies

Until recently, police agencies have experienced considerable growth and this brought with it increased opportunities for progression and advancement. Today, however, a much different picture of the police personnel system emerges. The dynamics of growth and retirement-related attrition have slowed considerably, if not ceased. The recruit who entered the career

field five years ago is now faced with limited potential for advancement. He or she can no longer look forward with any certainty to being promoted through the one track career path system which typifies police agencies.

Whether limited advancement opportunities constitute or become a personnel system problem depends upon a number of other factors. Perhaps the paramount factor is the psychology of the police officer. If most police applicants seek a police career for security, as some research suggests - and the present economy would appear to foster such a need, then limited advancement opportunities could be a rather superficial problem. 9 On the other hand, one might speculate that as the level of education increases among police recruits, aspirations, expectations and potential are going to be frustrated by limited opportunities for advancement. If frustration boils over into job discontent and disturbingly low employee morale, other alternatives may need to be considered. A preventive measure, perhaps, would be to ensure that applicants are given a realistic assessment of their career opportunities in police work. Beyond that, job restructuring and pay differentials for specialized assignments are two possible courses of action within the personnel system.

Our concern here with career development and promotion policies was whether the agencies visited were experiencing personnel shortages at least partly because of limited advancement opportunities, and whether there were personnel policies which affect this problem.

We found that limited opportunities was cited as a problem in eight agencies. A review of their personnel system characteristics and policies leads us to the following preliminary observations:

- The effect of limited advancement opportunities on turnover is minor.

- If limited advancement opportunities is cited as a personnel problem, there is a tendency for there to be additional personnel problems and more overall than in the other agencies.
- Whether an agency has specialized assignments with pay differentials within a rank is of no consequence in the reported or perceived chance of advancement.
- Agencies with reported advancement problems generally use seniority as an advancement factor as do the other agencies and the average seniority factor (years required before eligibility to next rank) is roughly identical for the former and latter advancement is seen by personnel officials to be a problem.
- There is a very slight tendency for limited advancement opportunities to be reported as problems disproportionately more often among larger agencies.

From this brief review, we have not isolated any conspicuous personnel system correlates of reported problems with limited advancement opportunities. We have been dealing, of course, with interviewee perceptions about this problem rather than additionally attempting to study more objective data such as actual personnel transaction rates. It is possible that all 31 agencies have the same advancement rates more or less, but these are perceived and/or tolerated differentially.

4. Training and Education Policies and Programs

Naturally prominent groups and study commissions have continually recommended that improvements be made in the quantity and quality of law enforcement training and that higher educational standards for law enforcement

personnel be adopted by police agencies. 10 This focus on training and education can be traced to the influence of those who firmly believe that training and education are prime means for improving the caliber and capabilities of law enforcement personnel. The attention directed at personnel derives from recognition reflected throughout the body of contemporary literature that the most valuable police resource is people and that the delivery of police services in our modern, industrialized, urban society is a highly complex undertaking, the success of which is almost totally dependent on the people involved. 11 The Congressional mandate that the current and future personnel, training and education needs in law enforcement and criminal justice occupations be determined and that the adequacy of training and educational programs in relation to these needs also reflects an awareness of the importance of human resources in the administration of justice.

In supporting the accomplishment of these major objectives of the National Manpower Survey, we designed our field site visit procedures and instruments so that information regarding training and education was gathered from a variety of sources within those law enforcement agencies visited (see Table 7).

What has resulted is a broad overview of training and education practices, policies, and programs which exist in the thirty-one law enforcement agencies visited. While our information gathering concentrated on in-service training (other components of the National Manpower Survey had primary responsibility for other training and education), we also collected data pertaining to entry level and on-the-job (OJT) training as well as education.

a. <u>Kinds of Training Provided by Agencies</u>. We found that training provided by agencies can be broken down into three major categories. These are: (1) entry level recruit training (often referred to as basic training);

(2) in-service training (typically meaning that training which is provided subsequent to entry level training); and (3) formal on-the-job training (differing from the other two in the sense that it typically occurs in the job setting). Table VIII-III-8 presents data concerning the number of agencies visited which provide these kinds of training. As might be expected, few small agencies provide entry level recruit training themselves. Most receive this training from other sources. The one small agency visited which did provide this kind of training was a Sheriff's department which operated a regional training center which was used by other law enforcement agencies in the area. The center was not operated year round. Classes were assembled when sufficient numbers of trainees were available. Medium-size and large agencies visited, on the other hand, most often provided their own entry level recruit training.

Table VIII-III-8
Kinds of Training Provided by Agencies

Small Agencies	Medium-Size Agencies	Large Agencies	Total
N=7	N=14	N=10	N=31
1	9	9	19
7	14	10	31
2	2	1	5
	Agencies	Agencies Agencies N=7 N=14 1 9 7 14	Agencies Agencies Agencies N=7 N=14 N=10 1 9 9 7 14 10

Without exception, some form of in-service training is provided by all agencies visited. This might range from totally non-structured, informal "training" discussions by individual supervisors at roll-call to highly sophisticated in-service training which is linked to programmatic career progression

system. Regardless of the way in which it is delivered, in-service training was found to be extremely popular and something of high interest to law enforcemment administrators.

Formal on-the-job training was found much less frequently. There is a tendency to prefer training offered in a classroom-type setting. Our definition of formal OJT excluded those which were purely experiential without close supervision and a planned training sequence. Only five of the agencies visited presented training which anywhere near resembled formal OJT. Admittedly, experiential training occurs in virtually every agency, usually in a postformal training period when the trainee, be it a recruit or a new traffic accident investigation specialist, is afforded a chance to apply what has been learned in the training setting in the real world. In many cases, this type of experiential training also occurs prior to formal training. The most frequently found example being a newly hired recruit who rides with other officers for a period of time while he awaits an opportunity to attend entry level recruit training. In still other instances, experiential training without much structure or planning, but usually with fairly close supervision, is the sole method of training. In small agencies, this is sometimes the case for recruits, although the instances of this have been reduced substantially by the adoption of minimum police training standards in many states. It is not unusual, however, to find agencies in which criminal investigators learn the job almost completely by supervised, experiential training of a more or less informal nature, usually working closely with an experienced investigator.

b. When Recruits for Sworn Officer Positions Receive Entry Level

Training. The timing of entry level training was found to be a major training issue. It was generally agreed that the ideal is to have new recruits trained

before receiving any type of assignment within the agency, and most certainly before giving the recruit sworn officer responsibilities. Some agencies, however, advocate the employment of recruits for a short period prior to training during which the new officer receives some basic orientation to agency operations. Table VIII-III-9 indicates when recruits for sworn officer positions in the agencies visited receive entry level training.

Table VIII-III- 9
When recruits for Sworn Officer Positions Receive
Entry Level Training

	Small Agencies	Medium-Size Agencies	Large Agencies	Total
	N=7	N=14	N=10	N=31
1. Immediately upon appointment and before receiving any assignment	1	8	8	17
As soon as it can be scheduled, but always before giving the recruit sworn responsibilities	2	3	. 1	6
3. As soon as it can be scheduled and sometimes after the recruit is given sworn responsibilities	4	3	1	8

All thirty-one agencies visited indicated that recruits for sworn officer positions receive entry level training. Eight, however, indicated that this training is sometimes not received until after the recruit is given sworn officer responsibilities. Four of the seven small agencies, three of the fourteen medium-sized agencies, and one of the ten large agencies find them selves in the position of having untrained recruits performing sworn officer functions for a period of time. That this occurs in small agencies is not

particularly surprising. Neither is it startling that not all medium sized agencies are able immediately to train new recruits and, in some instances, must utilize these untrained officers. We felt it was, however, unusual to find a large agency which utilized untrained personnel to perform sworn officer duties. In the one case reported, the necessity of doing this is simply a matter of limited personnel and training capability. The agency is faced with critical manpower shortages and because of a restricted training budget, can only provide entry level training two or three times a year. Another factor is that this agency hires only to fill critical vacancies, thereby making the number of new recruits very low. Consequently, training is deferred until a sufficient number of recruits to warrant start up of a training class are hired. In the meantime, however, untrained recruits are pressed into service, sometimes even without receiving basic firearms training. Management of this, and other agencies which sometimes utilize untrained recruits for sworn officer duties, agree that this situation is appalling, but seem to be helpless in doing anything about it. There was widespread recognition that this is a risky practice and, that by doing so, the agency and governmental unit are exposed to the possibility of costly civil law suits from inappropriate action by untrained officers. Most agencies attempt to minimize this risk by closely supervising the activities of these officers, but the risk remains high nevertheless.

c. <u>Kinds of In-Service Training Given</u>. For purposes of our field site visits, in-service training was broken down into three categories. Table VIII-III-10 presents data regarding the number of agencies which provide these categories of in-service training. In view of the fact that all thirty-one agencies visited provide some form of in-service training we don't find it surprising that nearly all of them provide review courses and specialized training. The need for these types of in-service training has been obvious

for some time. We find it interesting, and somewhat unexpected, that all but one of the agencies visited, provide supervisory training. We began our field work with the general impression that supervisory training had not yet gained the popularity of other forms of in-service training. Obviously, this is not the case in the thirty-one agencies visited. We thought it of interest to learn when supervisors are trained. Table VIII-III-ll indicates when supervisory training is given in the thirty agencies providing in-service training of this nature. Most agencies give supervisory training after promotion, but we found that there is a distinct trend, particularly in the large agencies, toward giving this training prior to promotion. We think it is likely that this trend will spread to medium-size agencies and that future in-service training requirements will include supervisory training for those eligible, but not yet promoted.

d. Management Satisfaction with the Quality of Police Training.

Specific inquiry was made of executives regarding their satisfaction with the quality of police training as it currently stands in their respective agency. To determine this, executives were asked whether any improvements in the entry level and in-service training provided their personnel was, in their judgment, needed and, if so, whether these needs were critical. Table VIII-III-12 summarizes the responses received from executives of the thirty-one agencies visited.

Executives of the great majority of agencies visited are generally satisfied with the length, content, and quality of entry level training currently provided to recruits. One of the most frequently mentioned deficiencies, as seen by agency executives, is an insufficient amount of practical application provided in the formal training setting. A number of agency executives

Table VIII-III-10
Kinds of In-Service Training Given

₹ <mark>x</mark>	Small Agencies	Medium-Size Agencies	Large Agencies	Total
	N=7	N=14	N=10	N=31
1. Review courses for upgrading skills and knowledges	7	14	9	30
2. Specialized training	6	13	10	29
3. Supervisory training	6	14	10	30

Table VIII-III-11
When Supervisory Training is Given in those Agencies
Providing Supervisor Training

	Small Agencies	Medium-Size Agencies	Large Agencies	Total
	N=6*	N=14	N=10	N=30
1. Before promotion, and affects final promotional decision			1	1
2. Before promotion, but does not affect final promotional decision	•	1	5	6
3. After promotion, and routinely given every new promotee	3	12	4	19
A. After promotion, but given only on an as needed basis	3	1		4

^{*}As indicated in Table VIII-III-C-3, one small agency does not provide super-visory training.

Table VIII-III-12

Management Satisfaction with the Quality of

Police Training

RESPONSE CODES: A Have critical needs B Not critical, but improvement needed C Not critical, no		Small Agencies		Medium-Size Agencies		Large Agencies		Total					
	improvements needed	1	1=7			N=1	L 4		N=10)	N	=31	
		<u>A.</u>	В.	<u>c</u> .	Α.	В.	<u>C</u> .	Α.	В.	с.	Α.	В.	<u>c</u> .
1.	Entry level recruit training	4	1	2	2	1	11	2	2	6	8	4	19
2.	In-service training	5	2	0	4	8	2	,5	3	2	14	13	4

indicated that an excessive amount of on-the-job experience is required by trained recruits before they reach the level of proficiency required to perform alone or without close supervision.

The level of management satisfaction with current in-service training programs is generally quite low. Of the thirty-one agencies visited, fourteen indicated that they have critical in-service training needs and thirteen others indicated that improvement is needed. Only four agencies feel satisfied with the in-service training delivered to their personnel today. Many agencies have found it difficult to plan, develop, and administer effective in-service training programs. We found that one of the key variables in an agency's ability to implement a viable in-service training program is top-level management's commitment to this effort. In some agencies, responsibility for in-service training is diffused to different organizational components without overall coordination or direction. Patrol and investigative service commanders do their own thing. The needs of personnel are not assessed and

in-service training becomes just another bother, not only to those who must arrange it, but also to those who receive it. The implications of this scattered approach are obvious. In an attempt to correct this deficiency, some agencies have established training coordinator positions. These coordinators, usually at a staff level, but with little direct authority or control, face a myriad of problems in seeing that in-service training is delivered effectively. Left with extremely limited budgets and little authority, it is no wonder that many attempts to conduct in-service training fail. The needs are obviously there. How law enforcement agencies can go about satisfying these needs, in many instances, need to be determined and, in our estimation, should be the subject of further exploration. What we did feel was an intensifying commitment by law enforcement management to in-service training. This commitment is an important first step in overcoming the difficulties associated with in-service training.

e. <u>Training Problem Areas/Needs Identified by Agency Management</u>. Agency executives were also asked to identify problem areas or needs that were presenting them with particular difficulty. The most significant of these are listed in Table VIII-III-13. A discussion of those not amplified elsewhere in this subsection follows.

Current manpower shortages are making it difficult for some agencies to schedule and release personnel for entry level training. Some of the smaller agencies have found it necessary to resort almost exclusively to closely supervised, in-agency field experience as a stopgap measure for new recruits.

In some instances, state or regional law enforcement training academies are required to allocate training slots to agencies. When this occurs, some agencies have found it necessary to go ahead and employ new recruits and give

Table VIII-III-13

Training Problem Areas/Needs Identified by Agency Management

1. Entry Level Training

- a. Need more practical experience
- Not enough time for adequate on-the-job experience to reinforce training
- c. Difficult to release personnel to attend training
- d. Difficult to schedule personnel for training due to allocation of slots at the academy
- e. Manpower shortage resulting from tight budget has forced the loss of fulltime training positions
- f. Providing manpower from operational units to teach at academy is difficult to continue
- g. Regionalized academy not sensitive to the needs of small agencies.
- h. Recruit training is unrealistic and in some areas irrelevant to work which will be performed
- i. Need additional training in:
 - Pursuit/defensive driving
 - Self defense/officer survival
 - Collection of evidence
 - Traffic accident investigation
 - Human relations
 - Laws of arrest
 - Community relations
 - Community service
- j. Need less training in:
 - Firearms
 - Fingerprinting
- k. Centralized academy domiciles recruits at the academy, away from home, resulting in dissatisfaction
- 1. Need additional personnel for training staff
- m. Lack of uniform quality among field training officers

Table VIII-III-13

(Contd.)

2. In-Service Training

- a. Difficult to release personnel from duty to attend
- b. Budget limitations which make agency unable to pay overtime to those officers attending training while off-duty
- c. Need additional training in:
 - Human relations
 - Management development
 - Family crisis intervention
 - Pursuit/defensive driving
 - General refresher material
 - Firearms proficiency
 - Organized crime
 - Crime data analysis

- Supervisory training
- Traffic accident investigation
- Criminal investigations
- Law revisions and court interpretations
- MBO training for supervisors and managers
- d. Need more in-service training and specialized courses provided by State or Regional academies
- e. More rollcall training is needed
- f. Budget not sufficient to support in-service training needs
- g. Need fulltime agency training coordinator
- h. Constant changing of in-service training needs and adjustment of priorities
- i. Difficulty in planning, developing, and administering an effective in-service training program

them experiential training until they can be scheduled to attend formal basic training at the academy.

Some agencies which operate basic training academies are experiencing problems in using officers assigned to field units as academy instructors. This is particularly true of those agencies having shortages of field personnel. The temporary assignment of officers to conduct training courses becomes a drain on the human resources available to cover basic law enforcement assignments.

When manpower shortages occur, some agencies critically review their staff positions to see where "expendable" sworn officers might be found for redeployment to more critical functions. Training staffs frequently become likely sources of such "excess" personnel and are often affected by such occurrences. This may occur more readily in agencies where, because of factors such as "no-growth" or low turnover, recruitment and the need for basic training has been drastically decreased. The short-run negative implications for basic training may be slight; the negative impacts on an agency's ability to expand and upgrade its in-service training program on the other hand may be considerable.

The utilization of field training officers, their selection, and their preparation are issues of considerable interest to a number of law enforcement agencies today. It seems likely that more formal use of field training officers during pre and post recruit training and, in some instances, during the entire recruit probationary period will be seen. Some agencies recognize the increased responsibility placed upon field officers who perform this function and are considering incentives to reward them. We think field training officers can play an important role in the early socialization of new

recruits, as well as the reinforcement of training and performance evaluation. In our estimation, more agencies should give consideration to formalizing field training officer programs, thereby taking maximum advantage of this opportunity to more adequately prepare recruits to perform the job of police officer.

The most frequently mentioned difficulty associated with in-service training programs is the scheduling and releasing of personnel from regular duty. We learned of some very well designed and intentioned in-service training endeavors that failed because field commanders could not (or perhaps would not) release field officers to attend the training. Even with full commitment by the head of an agency to in-service training, scheduling is often a problem. Few administrators and commanders can justify less than adequate coverage of beat assignments for this type of training. The drain on human resources can be significant in all areas of field operations, including criminal investigations. Some agencies have tried to schedule in-service training while officers are off-duty and pay them overtime. In view of the limited financial resources being allocated today, however, this may be difficult to continue. It is a significant problem which, in our estimation, must be effectively dealt with if in-service training is ever to attain satisfactory level of success.

Another frequent, and no less significant factor contributing to the dissatisfaction with in-service training programs, is the limited amount of financial resources allocated to this effort. Those responsible for in-service training often receive little financial support. A great deal of what is invested in an agency's in-service training program is, in many instances, absorbed by fees, travel, and subsistence expenses associated with training programs available outside the agency. Some agencies justify the expense of this type of training by using those personnel who attend as trainers in the

subject as part of the agency's in-service training program. We found few agencies in which the in-service training program was funded adequately.

As one answer to some of the problems associated with in-service training, several agency executives expressed a need for more in-service and specialized courses emanating from state or regional law enforcement training academies. This is an obvious quest for outside assistance in meeting training needs. This applies not only to those agencies located in close proximity to such training resources, but also to others more distant from them who could benefit from extension-type courses presented by academy staffs.

The concept of roll call training appeals to most law enforcement agency executives and managers talked with during our field site visits. We found that it is generally rather poorly structured, however, and that a more formal approach is desired. Most people we talked with recognized the value of making roll call training part of a more comprehensive, programmatic approach to inservice training, but few have been able to reach this level of sophistication. Some experimentation has been done and some new developments using audio/visual technology are occurring. These offer promise for the future, but stimuli in the form of information, dissemination, financial support and technical assistance will be required if such methodology is to attain widespread acceptance and use.

Another significant difficulty assoicated with in-service training is related to it as a living organism with constantly changing needs and adjustment of priorities. It is doubtful that in-service training will ever stabilize. The need to be responsive to training needs as they develop must be recognized and made an integral part of any approach to in-service training.

f. <u>Continuing Education</u>. Continuing education has, indeed, been a popular thing among law enforcement personnel during recent years. Spurred on by financial support from the Law Enforcement Education Program (LEEP) and benefits from the Veteran's Administration, many agency personnel have entered college level educational programs. Another factor contributing to the popularity of continuing education is the existence of agency incentives, in the form of financial inducements and/or certain supportive policies such as the adjustment of work schedules to facilitate attendance at classes. Tables VIII-III-14, 15, and 16 summarize data regarding the percentage of sworn personnel continuing their education, percentage of sworn personnel having at least an Associates Degree, and the number of agencies having certain policies concerning continuing education.

Table VIII-III-14

Percentage of Sworn Personnel Continuing Their Education

	per of Agencies From Which Data Were Available	Small Agencies N=7	Medium-Size Agencies N=11	Large Agencies N=5	Total N=23				
1.	0-25%	2	2	1	5				
2.	26-50%	4	6	1	11				
3.	51-75%	0	2	3	5				
4.	76-100%	1	1	0	2				

It is obvious that higher education is popular among personnel of the great majority of agencies visited. Over 25% of the sworn personnel in eighteen of twenty-three agencies reporting are continuing their education. Over 25% of the sworn personnel in twenty-two of twenty-six agencies reporting have at least an Associates Degree (Table VIII-III-15). While some may conclude that

Table VIII-III-15

Percentage of Sworn Personnel Having at Least an Associates Degree

	er of Agencies From Which Data Were Available	Small Agencies N=7	Medium-Size Agencies N=11	Large Agencies N=8	Total N=26
1.	0-25%	0	2	2	4
2.	26-50%	6	7	4	17
3.	51-75%	1	2	2	5.
4.	76–100%	0	0	0	0

Table VIII-III-16

Number of Agencies Having Certain Policies Concerning
Continuing Education

	•	Small Agencies	Medium-Size Agencies	Large Agencies	Total
		N=7	N=14	N=10	N=31
l.	Schedules are adjusted to facilitate class attendance	6	9 · ·	8	23
2.	Time off is allowed to attend class	1	5	1	7
) .	Pay is increased according to the number of accumulated college credits or degrees	3	5	7	15
•	Continuing education is a formal promotion factor	0	3	4	7
5.	Agency gives subsidies for books and tuition	1	8	6	15

financial aid programs such as LEEP and VA benefits are primary incentives which have contributed to this popularity, we found that a number of policies which likewise offer monetary incentives or in some other way act as inducements to continuing education had been adopted by agencies visited (Table VIII-III-16). Nearly half (fifteen of thirty-one) of the agencies visited offer financial incentives for the accumulation of college credits or the attainment of college degrees. The same number provide subsidies for books or tuition expenses. Twenty-three of the agencies visited adjust work schedules to facilitate attendance at classes and seven allow time off to attend class and include education as a formal promotion factor.

Police Officers. We also collected data concerning whether officers with more college education are utilized differently from officers with little or no college education, whether there are any noticeable differences in the performance of officers who have some level of college education, and whether it is more difficult to retain college educated officers. Table VIII-III-17 summarizes the responses received to these questions in the agencies visited.

Only one of the thirty-one agencies reported differences in the way college educated people are utilized. Thirty agencies reported that there are no differences and that the existing career ladders are not altered or bypassed by those with higher education. For the most part, civil service rules and regulations or labor agreements pertaining to the advancement of personnel constrain administrators insofar as the movement of personnel is concerned. For example, it may be a requirement that five years of service as a patrol officer is required prior to an individual being eligible to enter the competition for promotion. The administrator who might want to select out persons

Table VIII-III-17
Utilization, Performance, and Retention of College
Educated Police Officers

		Small Agencies				Large Agencies		Total	
		Yes	No	Yes	No	Yes	No	Yes	No
		N=	7	N=	14	N=]	LO	N=:	31
l.	Are officers with more college education utilized differently from officers with little or no college								
	education?	0	7	0	14	ì	9	1	30
		N=	7	N=	13	N=7		N=:	27
2.	Are there any noticeable differences in the performance of officers who have								
	<pre>some level of college education?</pre>	5	2	10	3	. 4	3	19	8
		N=	7	N=	13	N=8		N=2	28
				-					
•	Is it more difficult to retain college educated officers?	0	7	2	11	1	7	3	25

possessing certain qualifications desired for a specific position may be unable to do so under these circumstances. Hence, an agency's ability to utilize college educated persons differently from non-college educated persons may be prevented by existing, bureaucratic barriers. We did not hear much sentiment expressed favoring the differential utilization of college educated personnel, particularly at entry level and generally within field operations (patrol and criminal investigations). The feeling that basic level police work does not necessarily require a college degree per se seemed to prevail within the agencies visited.

The executives of nineteen of twenty-seven reporting agencies indicated that there are noticeable differences in the performance of officers who have some level of college education. Responses to this question were usually prefaced with something to the effect that the individual person, with his combination of intelligence, common sense, life experience, and education, is the key variable in performance, not the attainment of college education. Respondents who indicated that there are noticeable differences generally said that college educated officers were better able to relate with people; that they were more sensitive to the needs of the community; that they were more adaptable and less threatened by change; that they analyzed situations more thoroughly and wrote better reports; and that their level of self-esteem was higher. On the other hand, many respondents indicated that officers with higher levels of education were less willing to automatically accept organizational directives and often raised questions concerning organization, policy, and procedures. Most executives indicated that the key variable in performing law enforcement work is common sense, but none knew much about how you select personnel with this attribute.

Twenty-five of twenty-eight reporting agencies indicated that it is not more difficult to retain college educated officers. Among the more prominent factors cited were the competitive pay and fringe benefit packages currently available in many areas and the tight labor market prevailing at this time. Whether retention of college educated officers will become more of a problem as the labor market begins to open up could not be predicted. Few administrators expressed concern over this occurring, however.

Not much is known empirically about the effects of higher education on job performance in the law enforcement career field. Not unexpectedly,

therefore, we heard a myriad of opinions from agency executives and managers. Some opinions reflected skepticism, others reflected belief in the value of higher education, and still others found little value in higher education. Understandably, there is a high level of law enforcement interest in this issue, whatever may be individual opinions, and the need for a comprehensive and objective look at all of the implications of higher education was made clear to us. The fact that educational standards have become the subject of equal employment opportunity challenges cause a great deal of concern among law enforcement officials. One agency we visited was preparing to defend in court its high school education or equivalency requirement for entry-level law enforcement officers. The outcome of this litigation may have resounding effects on the level of education required by law enforcement agencies. Just as vulnerable are pay incentive programs linked to educational levels and promotional processes which include an educational component in the competition.

5. Representation of Women and Minorities

The National Advisory Commission on Criminal Justice Standards and Goals proposed a five-point minority recruiting program designed to insure equal opportunity for all qualified individuals seeking employment as police officers. 12 Recognition of the need for minority representation in police agencies is not a new development as evidenced in the President's Commission on Law Enforcement and Administration of Justice of 1967. 13

The concern with respect to minority representation in police departments extends beyond racial discrimination and includes representation of women. Recognizing that the limited role of women in the police service has been based largely upon traditional and often outmoded ideas, the National Advisory Commission also proposed a four-point standard for equal employment opportunity for women. 14

Even though the problem of under-representation of ethnic minorities and women in policing has been recognized for a number of years, not much corrective action was generated until 1972 when Department of Justice started suing police departments discriminating against minorities or women. A number of police departments have been sued so far, with some already agreeing to reform their hiring practices. Private suits also have been filed.

Our concern with representatives of women and minorities was whether the agencies visited were experiencing difficulties in recruiting women and minorities, and because of these difficulties were experiencing shortages, and what if any training and education implications emerge from increased representation of these groups.

Not all of the agencies visited were actively involved in recruiting and hiring women and minorities. Chief executives in four of the agencies had not begun an active program, but were formally planning one or were interested in doing so. Six chief executives either felt that such a program would not be suitable for their agencies or were uncertain of the program's value.

It will be recalled that six of the agencies visited reported difficulties in recruiting women and/or minorities. Further, these difficulties were not found to be a significant contributing factor in personnel shortages where these existed with the exception of one agency. All six agencies were experiencing recruiting difficulties, it should be noted, even though each had instituted a special emphasis recruitment program.

With regard to training and education implications, only four of the agencies visited reported that there had been any changes in recruit or inservice training as a result of increased representation of women and/or minorities in sworn police positions. In one of these agencies, a minority group of officers requested and was granted a new agency policy and procedure for training all officers in how to study for and take promotional examina-In the other three agencies, remedial training for recruits was established in certain areas, especially verbal comprehension for officers with English as a second language. There was a tendency among these four agencies for minority recruits to have less formal education, but this was not generally so for all the other agencies visited. Moreover, increased representation of minorities and women did not appear to have resulted from changes in entrance standards, nor was increased representation a conspicuous factor among reasons cited by those chief executives who did not anticipate changing their entrance standards.

6. Labor Management Relations

For the field analysis, our inquiry concentrated on agencies having collective bargaining agreements, especially with sworn personnel. We were interested in determining whether police unionism was an influential factor in manpower policies and levels and in training and education policies and programs.

Police unions are a late development in the history of policing. greatest spurt in their growth occurred during the 1960's, perhaps as a result of the relatively greater social unrest and demands upon police work. There is no consensus of opinion to be found in the literature or among the agencies we visited as to the impact of police unionism upon personnel requirements and training and education policies and programs. 15 Some authorities believe that unions will eventually "price police out of business," figuratively speaking. Thus, increasing civilianization is viewed by some police officials as a solution that is unavoidable, but one which must be gradually and unobtrusively implemented. Some authorities view unionism as a "blessing in disguise" which is awakening police executives and managers to the need for greater attention to efficiency and effectiveness in delivery of police services. Other authorities regard unionism as a completely normal and healthy phenomenon which ultimately benefits both rank and file and management. Some authorities believe unionism is anathema to police professionalization since unions are perceived as promoting credentialism and other trade guild perogatives instead of increased education and formal training. On the other hand, others take a futuristic view that unions will eventually support and then demand increased professionalism.

Sworn personnel were represented by collective bargaining units in slightly over one-half of the agencies visited. A review of our interview

data with personnel officers and other officials in this subset of agencies leads us to some preliminary observations:

- Collective bargaining units have had a significant impact
 upon personnel management and administration in most of the
 agencies where these units exist.
- The most frequent area of impact was work scheduling (e.g., demands as to starting times for tours of duty, vacation schedules, etc.).
- Other prominent, but less frequently cited impact areas were salary and fringe benefits, staffing capabilities or flexibilities, grievance procedures, in-service training and continuing education, and promotion standards.
- Hiring standards apparently has not been an impact area,
 but this may be beyond the influence or power of unions in
 the present era of legislated requirements.
- In some agencies unions have obtained continuing education pay differentials and overtime pay for off-duty training as contractual agreements.

7. Summary Findings and Conclusions

A field analysis of selected personnel system characteristics of the 31 police agencies visited was conducted. The selected characteristics were recruitment and selection, personnel utilization, career development and promotion policies, training and educational policies and programs, labor management relations, and representation of women and minorities. The basic purpose of the analysis was to determine the impact of these characteristics upon police personnel needs and upon the training and education of these personnel. Summary findings and conclusions are presented below for each of the six characteristics.

a. Recruitment and Selection.

- Recruiting difficulties were experienced by a relatively small portion of the agencies visited and were not a major contributing factor in agencies with personnel shortages. A variety of reasons account for agencies' abilities to attract applicants.
- Hiring qualified police personnel was generally not a problem among the agencies visited.
- Recruit qualifications do not appear to be associated with differences in agency drop-out rates of probationary officers.
- Police personnel turnover beyond the probationary period was a relatively insignificant problem among the agencies visited. The lower than normal turnover was generally attributed to the current economy and employment market.

b. Personnel Utilization

- Specialization-

- Primarily because of budgetary constraints, there seems to be a growing tendency for agency administrators to question the value of specialization and to seriously consider the elimination of specialized units.
- On the other hand, a scattering of newly formed areas of specialization were found, including crime specific units, special operations (e.g., SWAT, canine units, etc.), community services, support services, etc.

- It was our impression that the availability of Federal funding was a greater stimulus to such specialization than the need for it. The external funding of new positions for a project creates an opportunity to retain them in the agency budget as a local government expenditure after the project ends.
- Within medium-sized agencies visited where specialization had recently increased, staffing tended to follow the generalist/ specialist approach. Personnel performing general functions most of the time would be trained as specialists to be mobilized when needed.
- Specialization is a prominent factor in the level of in-service training given police personnel. The level varies by area of specialization, and the initial costs are often absorbed by external funds. Training is typically provided by sending personnel to specialized training schools.

-Civilianization-

- The most frequently cited areas of civilianization in the agencies visited were communications, records and identification, traffic and parking control, and retention facility custody.
- Agency size does not seem to be a significant variable in determining whether to civilianize.
- There is growing recognition that sworn status is nothing more than the granting of certain powers required to perform certain law enforcement functions. One might forsee the day when sworn status is attached to positions rather than people in an agency.
- One strategy for increasing the total number of authorized positions (sworn and nonsworn combined) has been for agencies to propose the civilianization of certain positions with no decrease in the number of sworn positions.
- The initial cost savings of civilianization may be short-lived.
- Training of nonsworn personnel to perform functions formerly performed by sworn officers has been problematical.
- Turnover of nonsworn personnel can be expected to be greater than that of sworn officers.
- Career progression for nonsworn personnel is an important factor which is often overlooked as agencies embark on civilianization.
- Continued growth in the utilization of civilians in police work and the variety of functions they perform seems likely.

- Reserve or Auxiliary Police Units -

- We found that the fole of reserve or auxiliary officers is generally limited to that of providing assistance to regular officers.
- While no administrators said that the existence of reserve or auxiliary officers decreased the number of fulltime personnel required to meet the demand for services, we think it likely that a thorough analysis of the impact of such officers on personnel utilization would reveal some significant effects.
- We think it probable that the upgrading of reserve or auxiliary police officer selection and training will continue and may result in the more widespread use of them.

- Paraprofessionals -

- Only a few instances of the use of paraprofessionals were found, but interest in their use appears to be growing.
- The increased interest is due to the availability of outside funding and recognition that police officers are overburdened with many activities not directly related to law enforcement.

- Functional Changes -

- Agencies were scrutinizing their operations and carefully analyzing the investments which have been made in certain functions. Some auxiliary functions (those not critical to the central function of law enforcement) will probably be deleted and personnel reallocated to meet more pressing needs.
- Agencies of all sizes expect to adopt crime prevention as a high priority goal along with law enforcement and response to citizen calls.
- We can expect to see continued formalization of planning and research within law enforcement agencies.
- We think it likely that an emerging position usually called administrative assistant to the chief of police will grow in popularity.
- The interest in the polygraph as an administrative tool continues to grow, and the demand for trained polygraph examiners will increase in the future.

c. Career Development and Promotion Policies

• Limited career development opportunities was a relatively insignificant problem among the agencies visited. Where this problem is reported to exist, there is a tendency for a greater than average number of other personnel problems to exist also.

- Agencies reporting limited career advancement opportunities do not differ from the other agencies in policies toward entrance standards, specialized assignment pay differentials and degree to which seniority is used as a promotion factor.
- Reported turnover and perceived limitations in career advancement were not related.
- There is a very slight tendency for limited advancement opportunities to be reported disproportionately more often among smaller agencies.

d. Training and Educational Policies/Programs

- Recruit Training -

- The great majority of agencies visited in connection with the National Manpower Survey are generally satisfied with the length, content, and quality of basic training currently provided to recruits. One of the most frequently mentioned deficiencies, as seen by agency executives, is an insufficient amount of practical application provided in the formal training setting. A number of agency executives indicated that an excessive amount of on-the-job experience is required by trained recruits before they reach the level of proficiency required to perform alone or without close supervision.
- Current manpower shortages are making it difficult for some agencies to schedule and release personnel for basic training. Some of the smaller agencies have found it necessary to resort almost exclusively to closely supervised, in-agency field experience as a stop-gap measure for new recruits.
- In some instances, state or regional law enforcement training academies must allocate training slots to agencies. When this occurs, some agencies have found it necessary to go ahead and employ new recruits and give them experiential training until they can be scheduled to attend formal basic training at the academy.
- Some agencies which operate basic training academies are experiencing problems in using officers assigned to field units as academy instructors. This is particularly true of those agencies having shortages of field personnel. The temporary assignment of officers to conduct training courses becomes a drain on the human resources available to cover basic law enforcement assignments.
- When manpower shortages occur, some agencies critically review their staff positions to see where "expendable" sworn officers might be found for redeployment to more critical functions. Training staffs frequently become likely sources of such "excess" personnel and are often affected by such occurrences.

- The utilization of field training officers, their selection, and their preparation are issues of considerable interest to a number of law enforcement agencies today. It seems likely that more formal use of field training officers during pre and post recruit training and, in some instances, during the entire recruit probationary period will be seen.
- The level of management satisfaction with current in-service training programs is generally quite low.
- Many agencies have found it difficult to plan, develop, and administer effective in-service training programs. We found that one of the key variables in an agency's ability to implement a viable in-service training program is top-level management's commitment to this effort and we feel that this commitment is intensifying.

- In-Service Training -

- The most frequently mentioned difficulty associated with in-service training programs is the scheduling and release of personnel from regular duty to attend such training.
- Another frequent, and no less significant factor contributing to the dissatisfaction with in-service training programs, is the limited amount of financial resources allocated to this effort.
- As one answer to some of the problems associated with in-service training, several agency executives expressed a need for more in-service and specialized courses emanating from state or regional law enforcement training academies.
- The concept of roll call training appeals to most law enforcement agency executives and managers talked with during our field site visits. We found that it is generally rather poorly structured, however, and that a more formal approach is desired. Most people we talked with recognized the value of making roll call training part of a more comprehensive, programmatic approach to in-service training, but few have been able to reach this level of sophistication.
- Another significant difficulty associated with in-service training is the agency's changing needs and readjustment of priorities. It is doubtful that in-service training will ever stabilize. The need to be responsive to training needs as they develop must be recognized and made an integral part of any approach to in-service training.
- Not much is known empirically about the effects of higher education on job performance in the law enforcement career field. A myriad of opinions spanning the continuum from pro- to anti-higher education were heard from agency executives and managers. There is a high level of interest in this issue, and the need for a comprehensive

and more objective look at all of the ramifications of higher education is clearly implied.

e. Labor Management Relations

 Police collective bargaining existed in about one-half of the agencies visited. The most prominent impact of collective bargaining is upon work scheduling. To a much lesser degree, in-service training and continuing education policies are affected with one effect being to raise the cost of such activities.

f. Representation of Women and Minorities

- The majority of agencies visited are actively recruiting minority and women police applicants. If recruitment is a problem, it is usually limited to these groups, but does not account for any personnel shortages which may exist.
- Increased representation of women and minorities in the sworn personnel force has had relatively little impact upon training and education policies and programs.

D. OCCUPATIONAL ANALYSIS OF KEY LAW ENFORCEMENT OCCUPATIONS

1. Introduction

Nine key law enforcement occupations were analyzed in order to determine their current task and knowledge/skill profiles. These profiles can be compared against training and education programs to assess any gap between occupational needs and program delivery. Projections about the task and knowledge/skill profiles five years from now were also made in order to identify possible changes that will be needed in law enforcement training.

As mentioned in Chapter I, several criteria were considered in selecting the key law enforcement occupations to be studied, and nine law enforcement occupations were eventually chosen:

- -- Police Chief executive
- -- Mid-level manager
- -- Patrol supervisor
- -- Investigative services or detective supervisor
- -- Patrol officer
- -- Detective
- -- Evidence technician/crime scene analyst
- -- Police legal advisor
- -- Police planner

Each of these occupations is defined below.

(1) Police Chief Executive—The police chief executive is the highest level official with direct operating responsibility for a law enforcement agency. This occupational category also includes primary assistants to the top chief executive who have independent responsibility over a major segment of the agency. Duty positions may be identified by the title of chief of police, sheriff, superintendent, colonel, director, commissioner,

assistant chief, or deputy commissioner. As general manager of a police agency or major segment thereof, the chief executive has administrative responsibility for the policies and performance of the agency or segment for which he is responsible.

- who occupy management positions in the agency which fall between the first line supervisor and the chief executive(s). The position title may be lieutenant, captain, inspector, division chief, bureau commander, director, or other titles which denote positions with nonexecutive management responsibilities. While it is likely that most of the incumbents occupying positions in this category will be sworn personnel, some may be nonsworn, e.g., a civilian director of training or police-community relations. However, a job to be included in this category should be central to the police function; excluded would be managerial jobs in the technical and administrative support area, managerial jobs in the crafts and trades area, and managerial level professional jobs.
- (3) Patrol Line Supervisor--Personnel who are responsible for first line supervision of personnel occupying basic operational line positions in patrol operations. The position title may be sergeant, corporal, officer-in-charge, team leader, or other titles which denote first line supervisory responsibilities. Line supervision of the patrol function should be distinguished from line supervision of the criminal investigative and other police functions.
- (4) Investigative Services Line Supervisor--Personnel who are responsible for the direct supervision of personnel occupying basic operational

line positions in police criminal investigative services. The position title may be sergeant, corporal, officer-in-charge, team leader, or other if it denotes duty positions with first level supervisory responsibilities for criminal investigative services. A duty position included in this category should be central to supervision of the investigative function.

- (5) Patrol Officer--Patrol officers are those sworn personnel deployed on the basis of patrol assignments (motorized, foot, or mounted) who are responsible for the protection of life and property, the prevention and deterrence of criminal activity, apprehension of law violators, supervision and control of traffic, and the provision of day-to-day police services to the citizenry served. The work performed consists primarily of routine patrol tasks and is generally supervised by a first line supervisor.
- (6) Detective/Criminal Investigator--Detectives/criminal investigators are those sworn personnel concerned with the investigation of criminal offenses and responsible for the clearance of reported crimes by arrest and the preparation of sound cases for the successful prosecution of offenders. For less serious or complex crimes, the detective/criminal investigator usually follows up preliminary investigations conducted by patrol officers. Individual assignments are often specialized to correspond with categories of criminal offenses, e.g., homicide, burglary, robbery, etc.
- (7) Evidence Technician/Crime Scene Analyst--Evidence technicians/crime scene analysts are those specialized agency personnel who are primarily responsible for the location, collection, classification, and preservation of physical evidence at crime scenes and, when appropriate, the transportation

of such evidence to a crime laboratory for analysis. Personnel in this category may be sworn or nonsworn and may or may not be assigned to perform this function on a full-time basis. For example, a law enforcement agency may designate certain patrol officers on each shift as having this responsibility and provide these officers with intensive training. When the need arises, these officers perform the specialized functions outlined above. These personnel would be included in this category. Excluded would be those agency personnel who have not been specially trained and who would not normally be referred to as specialists in this functional area.

- (8) Police Legal Advisor—Police legal advisors are those attorneys employed on a full-time basis by law enforcement agencies who provide legal assistance to the agency. Attorneys not classified as agency employees but who provide full time legal assistance to agencies are included, e.g., those whose salaries may be paid by grant funds. Also included are attorneys whose full time occupation is providing legal assistance to more than one police agency, e.g., regional or metropolitan area police legal services.
- (9) Police Planner--Police planners are those agency personnel who are formally involved in the planning process. The position title may be planner, project officer, administrative/management analyst; systems analyst technician, program research technician, or other titles which denote personnel who provide planning and/or research assistance to operational and staff elements of the agency. Personnel in this category may be sworn or nonsworn.

2. Methodology

A team of field interviewers was trained in the functional job analysis (FJA) approach and sent to a few selected police agencies early in the project to interview a small number of job incumbents in each occupational category. ¹⁶ The result of these early interviews was a preliminary, but as precise as possible, set of statements describing work tasks and the specific knowledges and skills required to perform each task. Later, during field visits to the 31 agencies, project staff would conduct FJA review conferences with very small numbers of subject matter experts in each agency, usually knowledgeable job incumbents or superiors. In addition to reviewing the FJA task specifications for their correctness, the experts were asked to answer three questions about a given task; what was thought to be the one best way to learn to do it, how difficult it was to learn how to do it, and whether college courses were thought to be essential or highly necessary for performing the task.

The main objective of the FJA procedure was to provide an independent set of data which could later serve as a verification of occupational data collected using task and knowledge checklists.

The tasks and knowledge checklists which were designed and used are presented in the Appendix (space limitations prohibit including the longer FJA task specifications in the Appendix). The task checklists contained succinct task descriptions (much more brief than the FJA task descriptions, i.e., for each FJA task, there was usually more than one equivalent checklist task) and scales for rating amount of time spent on those tasks performed, where each task was actually learned and the most valuable of these learning

sources, and the amount of training received for each task. The knowledge checklists contained knowledge/skill items (more general and brief than those contained in the FJA task specification sheets) and scales for rating the level of knowledge/skill required for capable performance and the level typically characteristic of newly assigned personnel.

The primary purpose of the task and knowledge checklists was to generate task and knowledge profiles from data collected during the agency field visits. As opposed to the FJA approach, these checklists constituted a more standardized and practical means of collecting substantial occupational information from much larger samples of law enforcement personnel.

The basic procedure in using the checklists during our visits involved giving agency coordinators packages of task and knowledge checklists to be distributed to specific samples of personnel. The checklists were to be completed and returned to us later through the coordinator. The guidelines left with the coordinator for doing this procedure are presented in the Appendix. The distribution of completed and returned checklists is shown in Table 18.

Following the field visits and analysis of the occupational data collected, a final, occupational analysis conference was conducted for each key occupation. The conferees included an NMS staff member, an outside occupational research consultant, and an occupational subject matter expert (namely, an authority in the law enforcement field). The objectives of the conference were to obtain a final review of the task and knowledge profiles for the current status of each occupation, a determination of the tasks which prominently require individual skills and knowledges, and a projection of the profiles for each occupation five years from now.

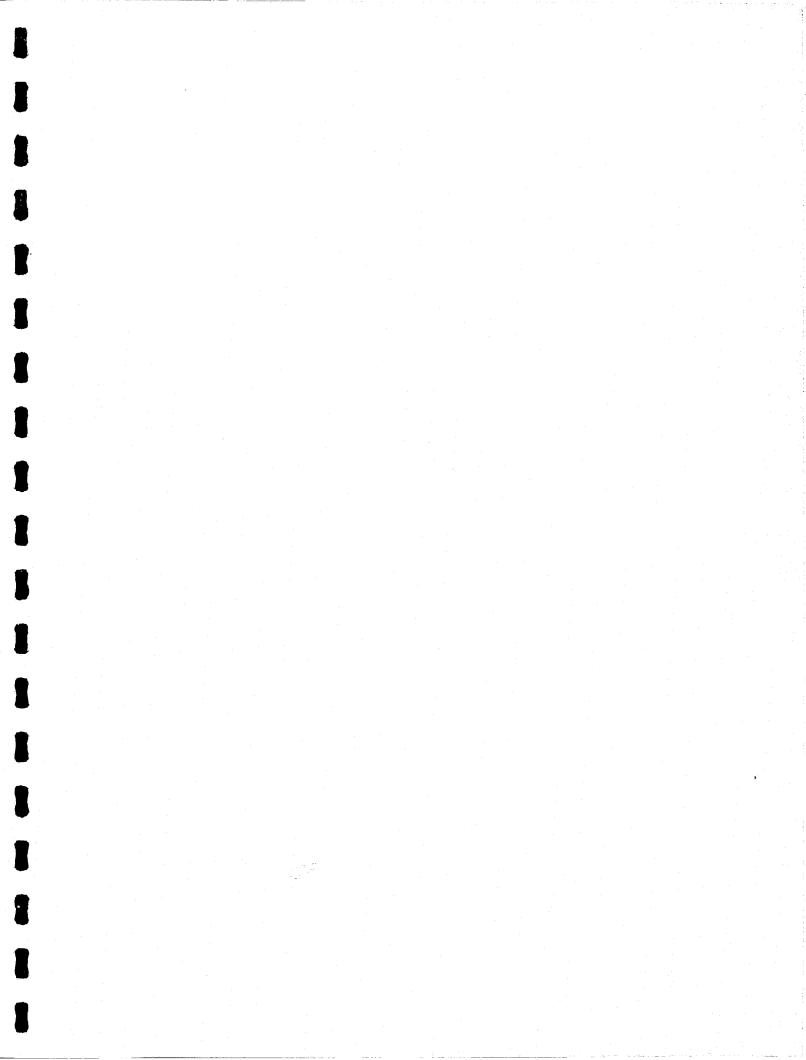


Table VIII-III-18

Completed and Returned Law Enforcement Occupational Task (T) and Knowledge (K) Checklists by Type Police Agency

	Law Enforcement Occupation																	
Agency Type		Chief Executive		Manager Manager		supervisor	, P.	200730 704730	Deten	Supervisor		Detective	٩	Advisor Legal		Planer Planer		rechnician
	<u>T</u> 3	<u>K</u>	<u>T</u> 8	<u>K</u>	T 10	<u>K</u> 5	T 10	<u>K</u>	T 10	<u>K</u>	$\frac{T}{12}$	<u>K</u>	<u>T</u>	<u>K</u>	<u>T</u> 5	<u>K</u> 4	<u>T</u>	<u>K</u>
State Police	(<u>7.9</u>) 8	(<u>2.5</u>) 9	(<u>12.5</u>) 8	(<u>16.7</u>) 4	(<u>6.1</u>) 39	(<u>8.9)</u> 16	(<u>6.7</u>) 21	(<u>5.6</u>) 10	(<u>10.4</u>) 22	(<u>11.8</u>) 7	(<u>7.8</u>) 25	(<u>9.1</u>)	(<u>16.7</u>)	(<u>17.6</u>)	(<u>10.4</u>)	(<u>8.5</u>)	(<u>6.3</u>) 5	(<u>6.3</u>) 5
Sheriff's Department	(<u>21.1</u>)	(<u>22.5</u>)	(<u>12.5</u>) 23	(<u>9.5</u>) 11	(<u>23.6</u>) 47	(<u>28.6</u>)	(<u>14.0</u>) 49	(<u>18.5</u>)	(<u>22.9</u>) 38	(<u>20.6</u>) 12	(<u>16.2</u>) 45	(<u>27.3</u>)	(<u>25.0</u>) 5	(<u>17.6</u>)	(<u>16.7</u>)	(<u>17.0</u>) 16	(<u>15.6</u>)	(<u>15.6</u>)
Large Municipal/County	(<u>28.9</u>) 13	(<u>35.0</u>) 12	(<u>35.9</u>) 20	(<u>25.2</u>) 17	(<u>28.5</u>) 57	(<u>23.2</u>) 16	(<u>32.7</u>) 57	(<u>24.1</u>) 15	(<u>39.6</u>) 24	(<u>35.3</u>) 9	(<u>29.2</u>) 65	(<u>33.3</u>)	(<u>41.7</u>)	(<u>47.1</u>)	(<u>29.2</u>)	(<u>34.0</u>) 17	(<u>34.4</u>) 12	(<u>31.3</u>)
Medium Municipal/County	(<u>34.2</u>)	(<u>30.0</u>)	(<u>31.3</u>)	(<u>40.5</u>)	(<u>34.5</u>)	(<u>28.6</u>) 6	(<u>38.0</u>) 13	(<u>27.8</u>) 13	(<u>25.0</u>)	(<u>26.5</u>) 2	(<u>42.2</u>)	(<u>18.2</u>)	(<u>16.7</u>) 0	(<u>17.6</u>) 0	(<u>39.6</u>)	(<u>36.2</u>)	(<u>37.5</u>)	(<u>40.6</u>)
Small Municipal/County Total Occ. Sample	(<u>7.9</u>) 38	(<u>10.0</u>) 40	(<u>7.8</u>) 64	(<u>7.1</u>) 42	(7.3) 165	(<u>10.7</u>) 56	(8.7) 150	(<u>24.1</u>) 54	(<u>2.1</u>) 96	(<u>5.9</u>) 34	(<u>4.5</u>) 154	(<u>12.1</u>) 33	(<u>0</u>) 12	(<u>0</u>) 17	(<u>4.2</u>) 48	(<u>4.3</u>) 47	(<u>6.3</u>) 32	(<u>6.3</u>) 32
Percentage of all Occupations	(5.0)	(11.3)	(8.4)	(11.8)	(21.7)	(15.8)	(19.7)(15.2)	(12.6)	(9.6)	(20.2)	(9.3)	(1.6)	(4.8)	(6.3)	(13.2)	(4.2)	(9.0)

3. Occupational Analysis of Patrol Officer

a. <u>Patrol Officer Task Profile</u>. As can be seen from Table 18, task checklists were completed and returned by 150 patrol officers. These officers represent primarily medium and large sized municipal/county police agencies. The median age of these officers was 28-1/2 years, and they had a median of 4-1/4 years of employment in their agencies (agency coordinators deviated somewhat from our guidelines on sample selection). The median level of formal education attained by these officers at the time of the study was between two and three years of college.

The patrol officer's task profile appears in Table 19. The profile includes 33 of the 46 tasks in the original checklist plus four tasks added by the consultants. Thirteen tasks fell below our criterion (explained in the Appendix) for retaining a task in the final, composite profile (task 22 had been rejected, but was restored by the consultants). Most of the rejected tasks dealt with supervisory responsibilities which a few patrol officers in smaller police agencies might be expected to have in at least an assisting or acting capacity.

It is safe to say that the retained and added tasks listed in Table 19 make up the most predominant part of the patrol officer's task profile. A review of additional tasks written in on the task checklist by respondents indicated that the write-ins were already represented, albeit more generally in the checklist.

Patrol officers typically spend a moderate amount of their time or more on ten of the tasks (tasks 1-4, 7, 11, 12, 28, 30 and 33) listed in Table 19. These tasks are the core of the patrol officer's responsibilities as they

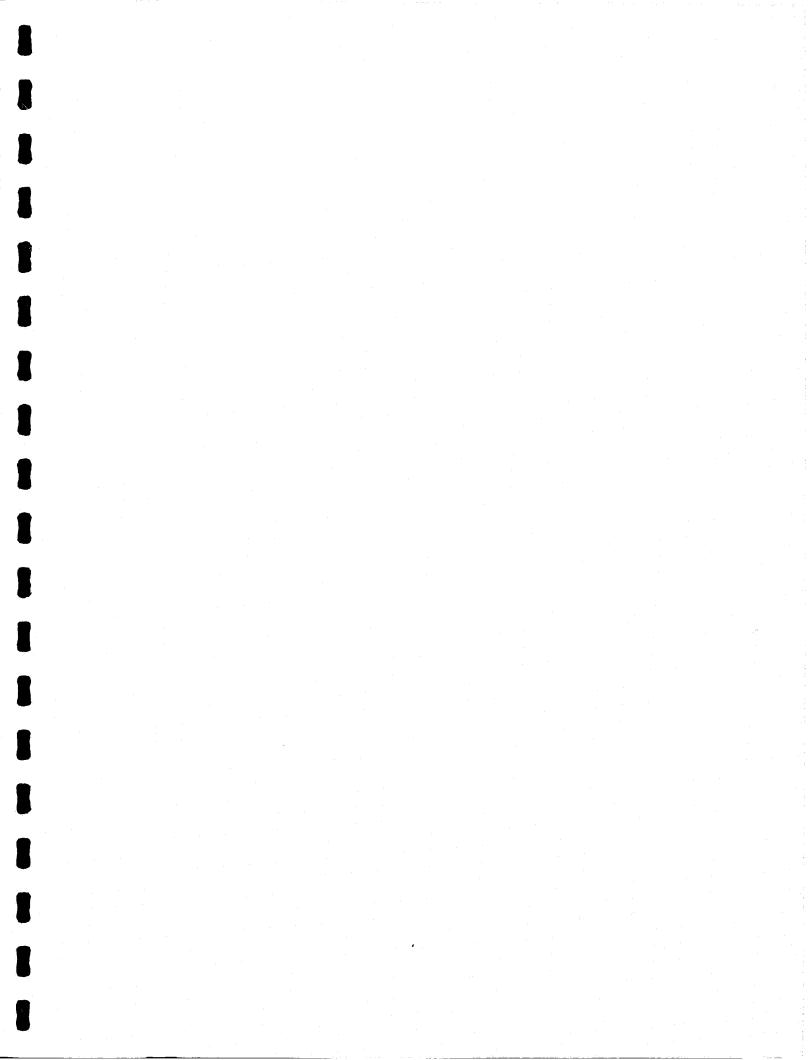


Table VIII-III-19
Task Profile of Patrol Line Officer Occupation

Task ^a	Task Description	% Who do Task	Median amount of time spent on Task ^b
1.	Familiarizes self with assigned patrol area and its citizens, businesses and crime problems, and identifies potential trouble spots.	96.6	2.6
2.	Drives vehicle or walks in assigned patrol area and watches for unusual or suspicious events and irregularities.	97.3	2.9
3.	Responds to calls for service or help and takes action to alleviate or control situation.	98.0	2.6
4.	Interviews suspects, complainants, witnesses and victims of crime to gain information on current or unresolved cases.	93.2	2.1
5.	Enters and conducts proper search of premise with or without warrant.	86.6	1.1
6.	Establishes and carries out surveillance of persons and things.	70.1	1.1
7.	Directs traffic at intersections, accidents or points of congestion and issues traffic citations or warning notices to motorists and pedestrians.	94.6	2.1
8.	Administers emergency first aid to injured or ailing persons.	85.2	1.1
9.	Observes speech, odor and movements of stopped motorist or pedestrian to determine degree of drug or alcohol intoxification.	96.6	1.8
10.	Searches for, identifies and recovers lost or stolen property.	87.2	1.3
11.	Assists people with problems or refers them to public service agencies.	96.6	2.0
12.	Enforces law situationally exercising judgement and discretion as to the most effective means for controlling or resolving problems.	98.0	2.4
13.	Pursues fleeing suspects or fugitives by vehicle or on foot.	94.6	1.2
14.	Arrests, searches, and secures suspects and fugitives.	97.3	1.9
15.	Uses physical force and protective equipment such as revolver, baton, hand- cuffs, shot gun and tear gas when necessary to subdue resistance, prevent		
	escape or protect self or public.	97.3	1.2
16.	Informs an arrested person of charges and his legal rights.	97.3	1.9
17.	Participates in booking an arrested person.	85.2	1.8
18.	Discusses charge and circumstances of arrest with arresting officer to ensure they are in accord with law and department policy.	62.4	1.3
19.	Evaluates circumstances and releases arrested person on a citation rather than taking into custody when warranted	88.5	1.4

Table VIII-III-19 (continued) Task Profile of Patrol Line Officer Occupation

Task ^a No.	Task Description	% Who do Task	Median amount of time spent on Task b
21.	Responds to scene of major occurrences.	65.1	1.4
22.	Photographs locations, individuals, and crime and accident scenes.	38.0	1.1
23.	Diagrams or sketches locations, individuals, and crime and accident scenes.	86.0	1.5
25.	Searches for, collects, labels and packages physical evidence found at crime and accident scenes.	79.2	1.3
26.	Recruits informants on criminal activity and solicits information from them.	80.0	1.2
27.	Acquires and updates information on crime and other police matters by reading station logs, reports, and computer printouts; exchanging information with fellow officers and other knowledgeable persons, chatting with citizens, and soliciting guidance from superiors.	92.0	1.9
28.	Reports periodic and daily activities verbally and in writing to supervisor.	92.7	2.0
30.	Operates voice radio equipment or information system terminal to receive and give information.	97.3	2.6
32.	Attends conferences, seminars, briefings and professional meetings to gather and exchange information.	50.0	1.1
33.	Records field actions and observations in notebook and transposes information into formal report of crimes, accidents or other activities and action taken.	92.7	2.3
42.	Receives and imparts training in law enforcement.	53.7	1.3
44.	Testifies at judicial proceedings.	98.7	1.7
45.	Talks with individuals such as juveniles and families of juveniles to build respect for law and order, advise on acceptable behavior and reduce crime and activity.	76.5	1.4
46.	Transports or guards persons in custody.	82.4	1.3
(47.)	Protects the crime scene.		
(48.)	Supervises or conducts line-up and other suspect identification techniques when warranted.		
(49.)	Checks files and documentary sources of information.		
(50.)	Exchanges information on cases with prosecuting attorney, probation officer, or parole officer.	11	ia conference

^aTask numbers in parentheses denote tasks added by consultants during final occupational analysis conference.

^b1 = A very small amount of time, 2 = a moderate amount of time, and 3 = a considerable amount of time.

directly involve patrol activities with the possible exception of the traffic control task (number 7). We would point out here that there is an on-going debate within and without law enforcement as to whether the traffic control function is and should be an integral part of the patrol officer's job or even of the police agency.

b. Patrol Officer Knowledge and Skill Requirements. The patrol officer knowledge checklist was completed by 54 respondents, mostly job incumbents. The distribution of these respondents by type of agency is shown in Table 18. The checklist contained 66 knowledge and skill requirements organized into five subject areas. Summary data on these requirements are presented in Table 20, which also includes three items added by the consultants.

If the median responses to the job requirement scale were to be taken at their face value, then all 66 knowledges and skills (plus the three added ones) are required to varying degrees for capable job performance. However, there is undoubtedly a tendency for these requirements to be overrated on such a checklist procedure. Therefore, we attempted to cross-verify the relative levels of those requirements against the knowledges and skills independently identified through the FJA procedure. The four-quadrant matrix in Figure 1 is the result of this verification effort. In quad <u>d</u>, both job analytical procedures agree that the requirements should be emphasized. In quad <u>c</u>, the FJA procedure indicates a deemphasis or rejection, but we are inclined to give the checklist values the benefit of the doubt. The requirements represented in quads <u>d</u> and <u>c</u> and the added ones coded <u>e</u> are identified to the left of the item numbers in Table 20.

It can be noted in Figure 1 that there was an overall agreement between the two job analytical procedures on 67% of the requirements. This magnitude

Table VIII-III-20

Knowledge/Skill Profile of Patrol Officer Occupation

knowledge/Skill Profile of Patro	1 011	icer	Occu	•		
	Fiel	d Sam	ple	Cor sulta		
Knowledges and Skills ¹	Median Job Requirement Level	Median Initial Proficiency Level	Difference	ljusted Level	Future Requirement Level2	Task Markers
A. Police Responsibilities and Environmen- tal Relationships						
1.police history, role and mission	2.2	1.8	.4	2.2	2.5	job pervasive
d2.criminal justice system/agencies/relationships	2.7	1.6		2.7		added task 50
d3.criminal/civil laws	3.0	1.8	1.2	3		task 14
d4.criminal/civil legal procedures	2.9	1.5	1.4			task 14
d5.laws of evidence	3.1	1.6	1.5	3		task 14
6.legal issues and trends in criminal law enforcement	2.3	1.3	1.0	2	2.5	task 12
d7.local jurisdiction, laws and ordnances	3.0	1.4	1.6	3		tasks 12, 14, 19
d8.police authority, responsibilities, rights and civil liability	3.2	1.8	1.4	3		tasks 3,12,15,16
<pre>9.preparation and execution/issuance/ processing of a warrant or subpoena</pre>	2.3	1.2	1.1	2	2.5	task 5
dl0.citizen rights and processing of complaints against officers	2.9	1.7	1.2	2		tasks 14,16
dll.courtroom procedures, demeanor and presentation of testimony	3.0	1.4	1.6	3		task 44
cl2.suspect identification	2.8	1.6	1.2	2		task 4,added task 48
13.external pressure groups, radical groups, dissidents	2.2	1.1	1.1	2		task l
<pre>14.contemporary social problems (urban, ethnic, etc.)</pre>	2.2	1.5	.7			task l
15.community needs and resources	2.4	1.2	1.2	2		task ll
B. Organization and Management 16.leadership and supervision	2.4	1.2	1.2	1	1.5	task 21
17.police organization, administration, and operations	2.3	1.2	1.1			job pervasive
rl8.police labor relations	1.9.	.9	1.0			
19.planning and decision-making	2.3	1.1	1.2	2.3		job pervasive
c20.motivation, morale, and police productivity	2.6	1.5	.9	1	2	none
Ic and d = guad c and d knowledge/ckill regu	i zama	n.e			.1	

lc and d = quad c and d knowledge/skill requirements respectively; e = requirements added by consultants; r = requirements rejected by consultants. See attachments to Appendix for definitions of job requirement and proficiency levels.

²Blank cells signify no future changes expected.

Table VIII-III-20 (continued)

Knowledge/Skill Profile of Patro	1 Off	icer (Occup	atio	n	
	Field	1 Samp		Con		
Knowledges and Skills ¹	Median Job Re- quirement Level	Median Initial Proficiency Level	Difference	Consultant Adjusted Requirement Level	Future Requirement B	Task Markers
d21.departmental goals and objectives	2.6	1.2	1.4			job pervasive
d22 written and oral communications	2.9	1.6	1.3	3		job pervasive
r23.personnel administration	2.1	.9	1.2			
24.human relations/group processes	2.2	1.3	. 9	2		job pervasive
C. Police Operations Patrol Operations: e24a.patrol techniques: e.g. preventive, random, directed, tactical surveillance				2	2.5	tasks 1,2,6
e24b,patrol methods: e.g. 1 vs. 2 man, marked vs. unmarked cars, team vs. individual		•		2	2.5	tasks 1,2
e24c.provision of non-criminal and misc. public services				2	2.5	tasks 1,3
Conduct of investigations: d,r25.preliminary investigations	3.0	1.4	1.6			
d26.techniques for identification of lost/stolen items	2.6	1.5	1.1	2.5		task 10
d27.interviewing and eliciting information	3.0	1.2	1.8	3 .		task 4
d28.collecting, recording, analyzing information	3.0	1.4	1.6	3		tasks 4,23,27, 28,33
d29.information sources and informants	2.7	1.0	1.7	3		tasks 4,27
30.visual and audio surveillance	2.2	1.0	1.2	2		task 6
31.field testing for intoxication or use of drugs	2.4	1.2	1.2	2.5		task 9
32.operation of breathalyzer	2.4	1.7	1.7	2.5		task 9
d33.investigation of specific crimes: e.g., arson, burglary, rape, homicide	3.0	1.2	1.8	2	2.5	job pervasive
d34.preparation of clear, concise reports	3.1	1.6	1.5	3		task 33
Traffic supervision and safety:						
d35.traffic control	2.7	1.8		2.5		task 7
d36.traffic laws and ordinances	2.9	1.8		2.9		task 7
d37.traffic accident investigation	2.9	1.6	1.3	2.9	L	job pervasive

Table VIII-III-20 (continued)

Knowledge/Skill Profile of Patro	o1 Off	icer	Occur	natrio	222	
	1	d Sam		Cor	1-	
			-		ants	
Knowledges and Skills ¹	Median Job Re- quirement Level	Median Initial Proficiency Level) Ce	ljuste Level	Future Requirement Level 2	Task Markers
Police tactical operations:	120	47	-		H H	LUDK HALKCIO
38.crowd/riot control	2.4	1.2	1.2	2.5		task 21
39.hostage and sniping situations	2.5	.9	1.6	3		task 21
40.crime strike/task forces	2.1	.8	1.3	2		task 21
Emergency care and rescue:						
41.fire alarm response	2.1	1.4	.7	2		task 3
d42.first aid/rescue at accidents	2.6	1.9	.7	2		task 8
d43.crisis intervention, dispute settlement	2.9	1.3	1.6	2	2.5	task 11
Special problems of juveniles: d44.juvenile justice system, laws, and procedure	2.7	1.2	1.5	2		task 45
45.prevention and control of juvenile delinquency	2.2	1.1	1.1	2		task 45
Departmental policies/procedures:		٠.				
d46.arrest techniques	3.2	1.8	1.4	2	j 	task 14
d47.hot pursuit/defensive driving	3.2	1.7	1.5	2		task 13
d48.use of physical force, lethal and non-lethal weapons	3.4	1.9	1.5	3		task 15
c49.care and use of firearms	3.2	2.2	1.0	ļ		task 15
d50.defensive tactics/physical training	3.0	1.9	1.1	3		task 15
d51.disarming, handcuffing, other restraint	3.0	2.0	1.0	3		task 15
c52.technique for searching a person	3.2	2.0	1.2	3		task 14
D. Staff Services53.use of agency computer terminal	2.0	. 4	1.6	2	2.5	added task 49
54.data analysis, synthesis, interpretation	1.8.	.4	1.4	1	2	task 27
55.use of agency files	2.2	. 9	1.3	2		added task 49
56.police-community relations	2.4	1.4	1.0	2		task 45
57 police-media relations	2.0	1.2	.8	1	2	rejected task 31
58.release of information	2.2	1.0	1.2		2	rejected task 31
59.issues requiring legal interpretation	2.2	1.0	1.2	2		task 14

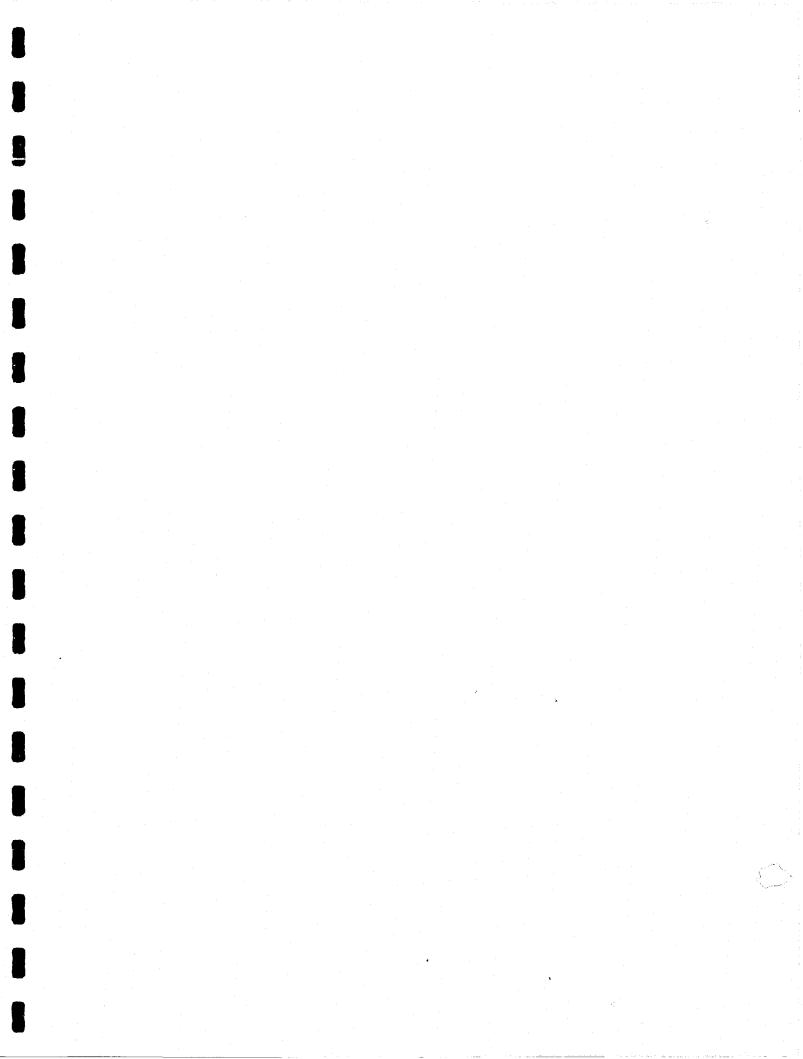
Table VIII-III-20 (continued)

Knowledge/Skill Profile of Patrol Officer Occupation

Knowledge/Skill Flolile of latte	T OIT	TCGL	occu	parti	711	
	Fiel	d Sam	ple	Cor sult	. 1	
Knowledges and Skills ¹	Median Job Re- quirement Level	Median Initial Proficiency Level	Difference	Consultant Adjusted Requirement Level	Future Requirement Level 2	Task Markers
E. Auxiliary and Technical Services						
60.departmental communications	2.4	1.2	1.2	2		task 30
61.criminalistics/forensic science	2.0	1.0	1.0	2		task 25, added task 47
d62.protection/analysis of crime scene	2.9	1.5	1.4	2	2.5	task 25, added task 47
63.police photography	1.7	.8	.9	2		task 22
69.finger prints - collection, preparation, classification, use	2.0	.9	1.1	2.		task 25
65.capabilities of crime laboratory	2.3	1.1	1.2	2		task 25
d66.availability, use, maintenance of police supplies and equipment	2.7	1.3	1.4	2		job pervasive

 $[\]frac{1}{c}$ and $\frac{d}{d}$ = quad c and d knowledge/skill requirements respectively; e = requirements added by consultants.

 $^{2 \}text{Blank}$ cells signify no future changes expected.



Decision Based on the Knowledge Checklist Data

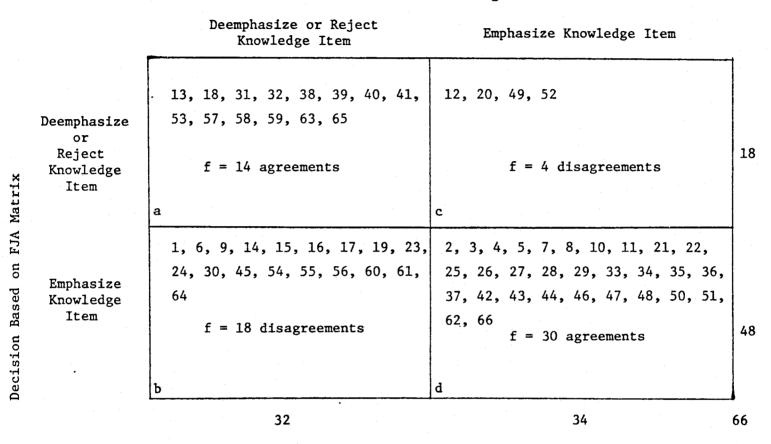


Figure 1. Four-quadrant matrix showing agreement (67%) and disagreement (33%) between two independently conducted job analyses procedures on the knowledge and skill requirements of the patrol officer occupation.

of agreement may be acceptable for our purposes, but it is far less than perfect. Therefore, the consultants were allowed during the final occupational analysis conference to adjust the current job requirement levels if these levels were judged to be too high or too low. The adjusted requirement levels also appear in Table 20. The consultants were also allowed to indicate which if any knowledge and skill items were not in their opinion necessary requirements and could thus be rejected. The items the consultants suggested rejected are identified in Table 20. Only three of the items were rejected as patrol officer requirements by the consultants, but 35 of the 66 items were adjusted downward two-tenths or more, 25 were kept the same or within one-tenth of the sample level, and only three were adjusted upwards. It is our view that the "true" requirement levels are somewhere between the unadjusted and adjusted values. It will be noted that one of the items, item number 25 - preliminary investigations, is in quad \underline{d} , but the consultants nevertheless felt the item should be rejected because it is already represented by item number 27 and because it would be inconsistent to keep number 25 without also adding a new item on follow-up investigations.

Table 20 also identifies the task markers for the knowledge and skill requirements. As is explained in the Appendix, one or more tasks become markers for a knowledge or skill if no other tasks require as high a level of the particular knowledge or skill. If no specific tasks can be identified as markers, then the knowledge or skill is judged to be job pervasive. Table 1 thus represents a tabular summary of an abbreviated task-knowledge/skill matrix. It is an abbreviated matrix because it identifies only those tasks which are saliently associated with particular knowledges and skills.

c. <u>Training and Education Implications</u>. The training and education implications of the analysis of the patrol officer occupation can be treated as two questions. First, what is the task, knowledge and skill content that should be emphasized in training and education programs? Second, what forms of training are most appropriate for which content areas of emphasis; academic education, job training, job experience?

With regard to broad areas of content emphasis, the relative emphases of the five broad subject areas are perhaps suggested either by the percentage of their knowledge and skill items which should be regarded as emphasized requirements for capable patrol officer job performance or by their average job requirement levels. The subject areas are rank ordered here according to their percentage values with these and the requirement levels in parentheses.

- C. Police Operations (74%; 2.8)
- A. Police Responsibilities and Environmental Relationships (60%; 2.7)
- B. Organization and Management (33%; 2.4)
- E. Auxilliary and Technical Services (28%; 2.3)
- D. Staff Services (0%; 2.1)

There is a logical sense to the ordering of the first two subject areas relative to the other three since we are dealing here with a basic line operation job. However, the relative ordering of all five subject areas should be regarded as only a very tentative guide for curriculum design since the level of description and the subjective classification of the specific knowledges and skills into the five areas could legitimately be questioned.

It would be both more advisable and informative to refer to the specific knowledge and skill requirements themselves. Both the emphasized and unemphasized knowledges and skills have already been identified in Table 20. In

designing or assessing formal training, a relative ordering of the knowledge/skills by their job requirement levels would presumably provide a useful guideline.

To identify possible training needs which still exist after recruit training, we turn next to the difference measures shown in Table 20. These measures are defined here as the discrepancies between the levels of knowledge or skill proficiency required on the job and the levels typically reached following recruit training. While the validity of this measure is unknown and may be questionable, it at least warrants consideration as a tentative indicator of knowledge and skill deficiencies which remain after the typical recruit training of today. This measure may or may not be related to what would be found from an independent and direct assessment of training needs through a performance analysis study or by comparing actual training curriculum content with knowledge/skill requirements. The most prominent deficiencies have thus been singled out and are listed in Table 21. It will be observed that all of the 12 knowledges and skills listed are also ones which were independently emphasized by two different job analysis procedures. Therefore, it would seem advisable for police administrators to pay particular attention to these specific knowledge and skill needs.

All 12 of the listed knowledge and skill deficiencies listed represent either subject areas C. Patrol Operations or A. Police Responsibilities and Environmental Relationships. Interestingly, the percentage of C deficiencies represented in Table 4 is the same (75%) as the percentage cited earlier of knowledge and skill items within \underline{C} which should be regarded as emphasized requirements.

Table VIII-III-21

The Most Prominent Knowledge and Skill Deficiencies Remaining After Patrol Officer Recruit Training

Item Number ¹	Knowledge or Skill	Deficiency Value ²
d27.	interviewing and eliciting information	1.8
d33.	investigation of specific crimes: e.g., arson, burglary, rape, homicide	1.8
d29.	information sources and informants	1.7
d 7.	local jurisdiction, laws and ordinances	1.6
d11.	courtroom procedures, demeanor and presentation of testimony	1.6
d28.	collecting, recording, analyzing information	1.6
d43.	crisis intervention, dispute settlement	1.6
d 5.	laws of evidence	1.5
d34.	preparation of clear, concise reports	1.5
d44.	juvenile justice system, laws, and procedures	1.5
d47.	hot pursuit/defensive driving	1.5
d48.	use of physical force, lethal and non-lethal weapons	1.5

¹ The code d represents quad d items.

²The deficiency value is the difference measure drawn from Table 20.

It will be noted in Table 21 that the three highest deficiencies involve investigative knowledges and skills. If left unattended by police administrators, those deficiencies could become even more serious should there be a trend toward increasing the investigative responsibilities of patrol officers. Two other deficiencies listed deserve passing comment. One is hot pursuit/ defensive driving. Vehicular accidents involving patrol officer drivers seemed to be almost a common place problem among many of the agencies visited. While one attempted solution is to require in-service driving skill training, and some agencies visited were requiring it, an additional or alternative solution would be a policy limiting or prohibiting high-speed driving. We add this comment to illustrate what is not always an obvious point; namely that training need not be or even should not be the primary response to every performance problem. Administrative solutions can sometimes be actions which deemphasize or eliminate certain knowledge and skill requirements. The other deficiency we wish to comment briefly upon is the use of physical force, lethal and non-lethal weapons. During our field visits, a few of the police officials interviewed stated that the exercising of discretion in the use of physical and lethal force was unmistakably their most critical training need. This need may become even more critical if crime continues to become more aggressive and violent, as a number of police officials who were interviewed predicted.

It will be recalled that police chief executives and middle level managers (patrol, investigative and traffic bureau commanders) were asked in interviews during our on-site visits to the 31 agencies if there were any critical recruit or in-service training needs or areas which needed improvement. In one-half of these agencies, interviewees were satisfied with their recruit training efforts and could think of no critical needs or areas needing improvement. In the other agencies, a number of comments represented dissatisfaction with various adminis-

trative problems associated with recruit training. But there were several comments reflecting dissatisfaction with deficiencies in specific subject areas. In only three of the agencies was there a sense of satisfaction with in-service training, and numerous comments reflected dissatisfaction with deficiencies in specific subject areas.

An analysis was made of the comments relating to specific deficiencies related primarily (presumably) to patrol officer recruit and in-service training. The comment categories and the number of times the comments were made are shown below:

- human relations/behavior (8)
- traffic law enforcement/investigation (7)
- basic investigative skills (6)
- firearms proficiency (5)
- pursuit/defensive driving (4)
- community relations (3)
- laws of arrest (3)
- self defense (2)
- courtroom procedures (1)
- crisis intervention (1)

The above categories are more or less an independent verification of the relatively prominent deficiency areas represented in Table 21 with perhaps a few exceptions. The frequency with which firearms proficiency was commented upon as a critical or unsatisfactorily met need does not seem to correspond to the relatively lower difference measure (1.0) for knowledge item 49--care and use of firearms (although knowledge item 48 involves the use of lethal weapons and does represent a relatively more prominent deficiency area). The use of firearms may be a skill which requires frequent and repeated practice to

maintain proficiency. Some of the agencies were discontent over having to curtail or eliminate rather extensive firearms in-service qualifications because of budgetary restrictions.

So far we have approached the training and education problem from the point of view of knowledge and skill requirements and deficiencies. We turn now to a task oriented approach, which hopefully complements the first approach, and in addition deals to some extent with the second of the two questions posed above, the appropriate forms of training. The tasks focused upon are those with one or more emphasized (c, d or e) knowledge/skill requirements or four or more unemphasized requirements. We are thus focusing on those tasks with relatively more depth and/or breadth of complexity. There are 25 such tasks listed in Table 22.

The data depicted in Table 22 were generated from the two different job analytical procedures. The particular tasks and their knowledge and skill requirements and deficiencies were, of course, generated from the tasks and knowledge checklists. The judged sufficiency of training received for a task and the actual source of task learning deemed most valuable are data generated from the task checklist. Judged difficulty level, best way to learn a task and the task-based essentiality of college course(s) are data generated from the FJA reviews by subject matter experts in the field.

The following highlights can be noted about the data in Table 22.

- All but two (tasks 21 and 25) of the 25 tasks contain one or more emphasized knowledge/skill requirements. The average number of such requirements per task is 2.4.

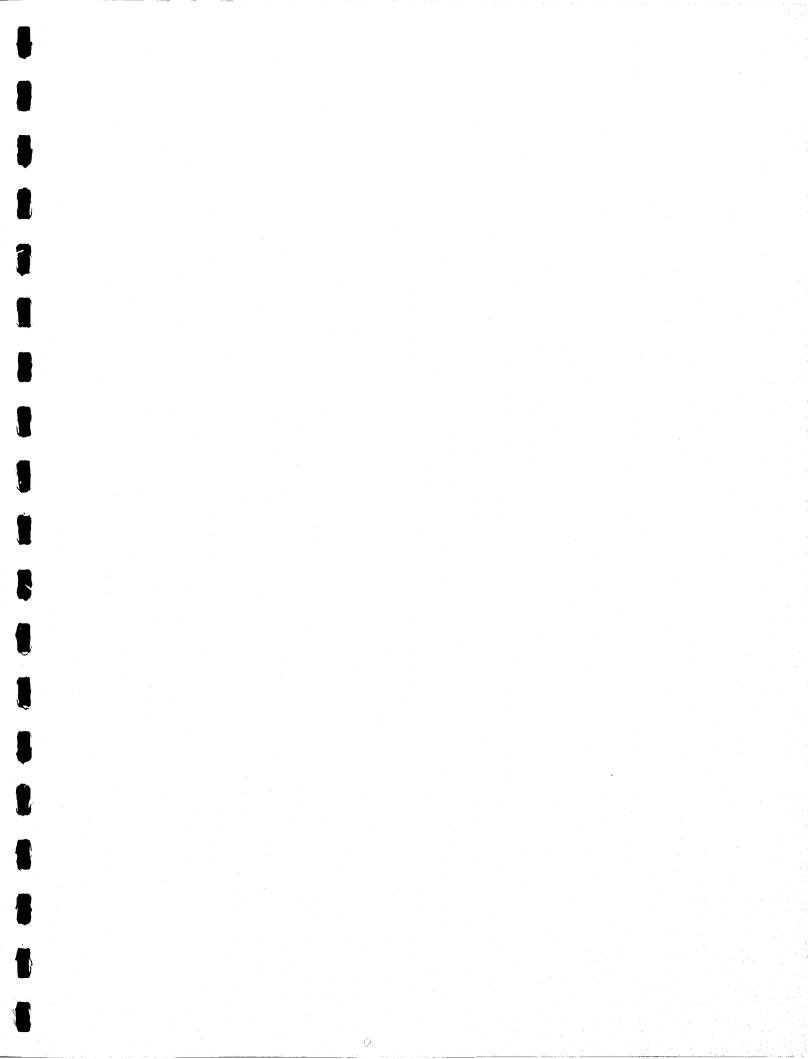


Table VIII-III-22
, Training and Education Data on Patrol Officer Tasks with Emphasized Knowledge/Skill Requirements

	Knowledge/Skill Requirement Numbers ^a (Difficiency Values) ^b	Task Deficiency Level ^C	Most Valuable Source Where Task Actually Learnedd	Training Sufficiencye % Too Little (N=150)	Frequ							
Task No.					Academic Education	Special Training	Experienced Coworker	On-the-job Training by Supervisor	Other	None Needed	College Course(s) Essential? # Yes	(N) f
1	13 14 <u>24a 24</u> b <u>24</u> c (1.1) (.7)	2	job exper.	17	3	3	10	2	3	0	2	(14)
2	<u>24a</u> <u>24</u> b	2	job exper.	14 ·	1	4	6	2	3	0	3	(11)
3	$\frac{8}{(1.4)}$ $\frac{24}{(1.4)}$ 41	3	job exper.	18	1	7	5	1	0	1	3	(12)
4	$\begin{array}{c ccccccccccccccccccccccccccccccccccc$	3	job exper.	37	2	. 2	5	0	0	0	4	(9)
6	24a 30 (1.2)	-2	job exper.	46	0	4	1	1	0	0	0	(4)
7	$\frac{35}{(.9)}$ $\frac{36}{(1.1)}$	3	job exper.	. 6	0	5	3	2	0	0	0	(10)
8	<u>42</u> (.7)	3	formal trng.	34	0 .	3	0	0	0	0	1	(3)
10	<u>26</u> (1.1)	2	job exper.	22	0	1	1	1	0	0	0	(2)
	15 <u>43</u> (1.2) (1.6)	2	job exper.	28	1	5	2	ı	2	0	1	(7)
1.0	$\begin{array}{cccccccccccccccccccccccccccccccccccc$	3	job exper.	27	2	6	3	1	0	0	3	(12)
13	<u>47</u> (1.5)	3	job exper.	30	0	3	1	0	0	0	0	(3)
	$\frac{3}{(1.2)} \frac{4}{(1.4)} \frac{5}{(1.5)} \frac{7}{(1.6)} \frac{10}{(1.2)} \frac{46}{(1.4)} \frac{52}{(1.2)} \frac{59}{(1.2)}$	4	job exper.	19	3 ·	8	2	0	1	0	1	(8)
	$\frac{8}{(1.4)} \frac{48}{(1.5)} \frac{49}{(1.0)} \frac{50}{(1.1)} \frac{51}{(1.0)}$	3	formal trng.	45	2	6	0	0	0	· 0	0	(7)
	$\frac{8}{(1.4)} \frac{10}{(1.2)}$	3	formal trng.	7	1	2	0	0	0	0	0	(3)
	$\frac{7}{(1.6)}$	2	job exper.	14	0	1	1	1	0	0	0	(2)
21	16 38 39 40 (1.4) (1.2) (1.6) (1.3)	3	job exper.	42	0	3	2	2	4	0	2	(8)

Table VIII-III-22 (continued)

Training and Education Data on Patrol Officer Tasks with Emphasized Knowledge/Skill Requirements

	•	Knowledge/Skill Requirement Numbers ^a (Difficiency Values) ^b	Deficiency Level ^C	Most Valuable Source Where Task Actually Learned ^d	Training Sufficiencye % Too Little (N=150)	Frequ							
	Task . No.	·	Task D			Academic Education	Speciál Training	Experienced Coworker	On-the-job Training by Supervisor	Other	None Needed	College Course(s) Essential? # Yes	(N) ^f
	25	61 62 64 65 (1.0) (1.4) (1.1) (1.2)	4	job exper. & formal trng.	38	1	4	2	0	0	0	1	(8)
•	27	28 29 54 (1.6) (1.7) (1.4)	3	job exper.	26	2	9	6	0	0	4	5	(16)
<	28	<u>28</u> (1.6)	. 3	job exper.	9	0	7	2	2	1	0	2	(12)
VIII	33	$\frac{28}{(1.6)}$ $\frac{34}{(1.5)}$	3	job exper.	15	0	5	2	1	1 •	0	2	(9)
- 141	44	11 (1.6)	3	job exper.	26	1	2	1	1	0	0	1	(4)
i i	45	44 45 56 (1.5) (1.1) (1.0)	3	job exper.	36	1	1	1	0 -	0	0	1	(3)
	47	61 <u>62</u> (1.0) (1.4)			·		•		•				

- The content of the tasks (tasks 1, 3, 4, 12, 14, 15, 21 and 27) with the most knowledge/skill requirements deals primarily with interactions between the patrol officer and suspects, but also with other core aspects of patrol work.
- The tasks range in judged level of difficulty from slight difficulty to very difficult. Over one-half of the tasks were judged to be of moderate difficulty, and only two (tasks 14 and 25) were judged very difficult. The average difficulty level was 2.8 on a 5-point scale.
- Although recruits in our sample went through formal police training before assuming patrol assignments, the <u>actual</u> source of learning judged most valuable for most tasks is informal on the job experience.
- The percentage of respondents who felt they received too little training ranges from six percent to 59 percent. For all but two tasks (tasks 22 and 26) the majority of the respondents felt the amount of training received was about right (the two tasks do not appear in Table 22 because they do not require either any emphasized knowledges/skills or four or more unemphasized ones).
- The relative insufficiency of training by task tends to be moderately associated with the level and number of deficiencies in knowledges and skills required by task.
- There is no patrol officer task judged by any more than an insignificant number of respondents to be one in which an academic education is the best way to learn the tasks (no attempt was made to differentiate kinds and levels of academic education such as community college vs. liberal arts university). The overwhelming majority judged

either special training or informal training/learning on the job (from co-workers and supervisors) to be the best way.

- There are no patrol officer tasks in which one or more college courses was judged to be essential or highly desirable by the majority of respondents.

Some of the above highlights require interpretation and comment here, especially because they touch directly or indirectly upon some very important and controversial issues such as job experience versus formal training and educational standards, both minimal and progressive. And because we are dealing here with an entry-level occupation employing by far the largest number of personnel within law enforcement, we shall dwell longer on these issues in this section, although it will be recognized that some of our comments could also apply to similar data highlighted for the other occupations to follow.

The first comment to stress is a caveat about drawing hard and fast conclusions from a single data source, especially when the data represent subjective opinions from a small number of persons. Thus, for example, that none of four subject matter experts in the field think that a college education or some college courses are the best and essential way to learn a given task is obviously not a fact that can stand alone. No educational standard should be established for a given task without substantially more evidence. But a single fact linked to others may add to our understanding of the role of higher education in the preparation and performance of the patrol officer.

With regard to educational requirements for the patrol officer occupation, we noted above a tendency for a small number of law enforcement personnel to judge either special training or informal on-the-job experience rather than education as the best way to learn the patrol officer's job task by task. This tentative finding was based on reviews of the FJA task specifications. Using the other approach, the task checklist, and with larger numbers of respondents (patrol officers) we noted the tendency for informal on-the-job experience rather than formal training or college courses to have been the actual source of learning judged most valuable.

There is additional evidence from our FJA data which would seem to suggest also that a college education or college courses are not essential in order to perform patrol officer tasks capably. Two of our trained functional job analysts independently had rated each law enforcement task on its general education development attributes using three GED rating scales. These scales are for judging the knowledges and abilities to reason (i.e., to deal with practical vs. theoretical problems, etc.), to deal with mathematical problems, and to deal with language (i.e., written or oral materials).

An analysis of the independent GED ratings (not presented here because of time and space restrictions) for all the tasks listed in Table 5 revealed that there were no tasks in which both raters gave a scale value of five — the scale step which implies that a college education might be a contributing source of development to reach that level (secondary education and life experiences may be sufficient means of developing these abilities up to and perhaps even beyond that level). The average ratings for the three developmental areas, reason, mathematical, and language, were 2.9, 1.1 and 2.6, respectively.

A rationale sometimes offered for the desirability, if not the essentiality, of higher education for patrol officers is that their exercise of discretion requires more educated judgments in usually unsupervised situations.

The concept of discretionary use of authority raises a number of issues. Although the subject of frequent discourse, it appears to us to be an imprecisely defined concept that fails to distinguish between choosing among relatively pre-established options and applying improvisational or unique solutions to problem (conflict) situations. Questions about the level of discretion appropriate or required for different patrol officer tasks and alternatives to or modifiers of increased use of discretion have not been empirically answered to our knowledge.

Presumably, handling juvenile misdemeanors and responding to civil disputes would usually require more discretion than would responding to criminal offenses. In general, as situations become more serious the potential for discretion should tend to decrease. One could argue that relatively programmed responses by the patrol officer would be the most appropriate in situations such as crimes in progress where behavioral cues and actions are unambiguous and danger exists or is imminent.

Yet another issue which is troubling is the dilemma of increasing discretion at the possible risk of increasing incidents of unacceptable use of authority. How to control discretion and still give it the range or flexibility thought necessary or desirable probably would require the wisdom of a Solomon, or at least considerably more knowledge and research than is available today. Faced with this dilemma, one might expect police management to be more rather than less cautious in exercising control over the patrol officer's exercise of discretion. Responses to situations with greater potential for discretion, such as civil disputes and juvenile handling, can be programmed so that the patrol officer is required to gather more information or consult with his supervisor if uncertain about the seriousness of

the situation or the appropriate response to it. Guidelines can be structured which delineate these situations and specify the information needed. Such control as this represents over the patrol officer's behavior may not be atypical, for it has been observed by others that "the prevailing mode of professionalized control in police departments today is deliberately centralized and nondiscretionary." 18

The concept of discretion, therefore, would seem to us to be a tenuous rationale today for higher education. But we have nevertheless attempted to examine our data for any evidence of the potential for discretion in the various tasks which make up the patrol officer occupation. Our two functional job analysts had independently rated each task on an eight point scale of worker instructions. This scale purportedly assesses the degree to which a worker relies upon his or her own judgment and decisions rather than upon specifications or instructions which have been established by others for the work. The average scale ratings of the two analysts was 2.9, which is near the low end of the scale or toward "non-discretionary" work. No tasks were rated more than halfway on the scale by both analysts, and only four of the tasks were given as much as a rating of four by both analysts. These particular findings by no means rest the case for or against exercise of discretion as a rationale for higher education, but we believe they add to the skepticism over this rationale.

Other rationales can of course be made and are found in the literature for higher education of the patrol officer. In addition to proposing exercise of discretion as an argument, Hoover has offered two others, the need to improve the effectiveness of crime control "through better motivation and greater ability to apply systems and technology," and the need to apply

judicious balance between the conflicting demands of "order maintenance" for law enforcement on the one hand and "social counseling" on the other. 20 Undoubtedly, numerous other rationales could be proposed. Until more empirical evidence accumulates, rationales will continue to fill the vacuum.

There are two lines of evidence to be considered. It seems to us that sufficient occupational analysis findings now exist to cast doubt upon the content validity of post-secondary education as a minimum entry-level standard for the patrol officer occupation. It is difficult to make a case for this standard as a job-relevant one based on an analysis of job content. The findings from the GED and worker instruction ratings tend to cast doubt on this standard in our view, as does the opinion obtained from the few law enforcement personnel in the field. Moreover, a review of the most prominent knowledge/skill deficiencies listed in Table 20 suggests to us that these are ones which can be avoided or minimized through improved recruit training and specialized in-service training and job experiences.

The question of whether continuing education of the patrol officer will upgrade performance in this occupation probably cannot be satisfactorily answered within the limitations of occupational analysis methodology. Another line of evidence is needed, criterion-related validity. No research study that we know of has been able to show any meaningfully significant and positive relationship between police performance and education. Hoover came to the same conclusion in reviewing the research literature, hence the reason for the three rationales he proposes. In a recent longitudinal study of police recruits, Sterling observed that increased education in some instances may even have an unintended negative effect. Sterling's concluding advice seems sound to us, namely that both

the advantages and disadvantages of a college background need to be more carefully delineated. 23 We would further add that in the absence of much, if any, evidence in support of continuing education, costly personnel policies and programs which deliberately facilitate or require continued education should be carefully re-examined. Further, given the increasing level of education in the general population and among police recruits, the police force will become more educated without these policies and programs.

The patrol occupation is one in which the entry-level specialized know-ledges and skills required on the job need not be and mostly are not learned prior to appointment. But they must be learned, obviously, and our findings suggest that a blend of formal training and on-the-job experience is the most appropriate approach to take. This is the common practice today, the view of the practitioners we consulted in the field, and is supported by the knowledge/skill requirements we have identified and the deficiencies we have uncovered.

The issue of formal training versus on-the-job experience is clearly not a categorical either-or question, but the far more difficult one of determining the relative emphasis of each approach and the particular knowledge/skill requirements and tasks to be learned by each. There is a host of technical considerations to be taken into account in decisions over this matter, including questions of the relative effectiveness of alternative training methods. Influencing these decisions, too, will be very practical concerns such as training budget and staff, the staffing level of patrol officers and supervisors, availability and quality of field trainers and length of probationary period.

There are probably a few key technical criteria which should govern how much emphasis is given to each approach. In general, formal training should be given greater emphasis than informal learning experiences for those tasks which: are more difficult or complex (require a greater number and level of knowledges/skills), require more knowledge than skill acquisition, are more consequential or critical, and are likely to occur "for real" immediately before coaching (field training or supervision) can be applied or practice can develop (this last criterion is both a technical and practical one). Applying these criteria in a very general way to our task and knowledge profiles leads us to believe that formal recruit training should receive the most emphasis, followed by on-the-job experience and in-service training. That the majority of patrol officers completing the task checklists believed on-the-job experience was the most valuable of their actual sources of task learning does not, in our opinion, argue for less formal training of the recruit. Their responses suggest, instead, that better and perhaps more formal training is needed to learn the job. Referring again to Table 22, we see that for the job as a whole special training outranks all other approaches in being judged the best way to learn patrol officer tasks.

With regard to the complex issue of which methods of training are the most efficacious, the answer depends first on the objective and/or subject areas. A review a few years ago of expert opinion and research on the matter revealed that training directors (from 117 large firms) judged the following method - objective pairings to be the most efficacious (the method judged second best appears after the first ranked):

knowledge acquisition - programmed instruction, case study
knowledge retention - programmed instruction, case study

problem solving skills - case study, simulated games
interpersonal skills - sensitivity training, role playing
attitude change - sensitivity training, role playing
participant acceptance - conference (discussion) method, case study
24

The investigators of the above study were compelled to rely heavily on expert opinion after finding considerable gaps and weaknesses in the research literature on the different methods (a total of nine methods were reviewed altogether). Today, some four years later, the status of training research remains roughly the same.

It is perhaps risky to transfer the findings from a sample of business firms to law enforcement, but it would seem nevertheless feasible and worth—while to attempt to classify the patrol officer knowledge/skill require—ments into the above training objective categories. Police training directors could then be asked to rate the relative efficacy of the various training methods, and the results could be compared to those of the above study.

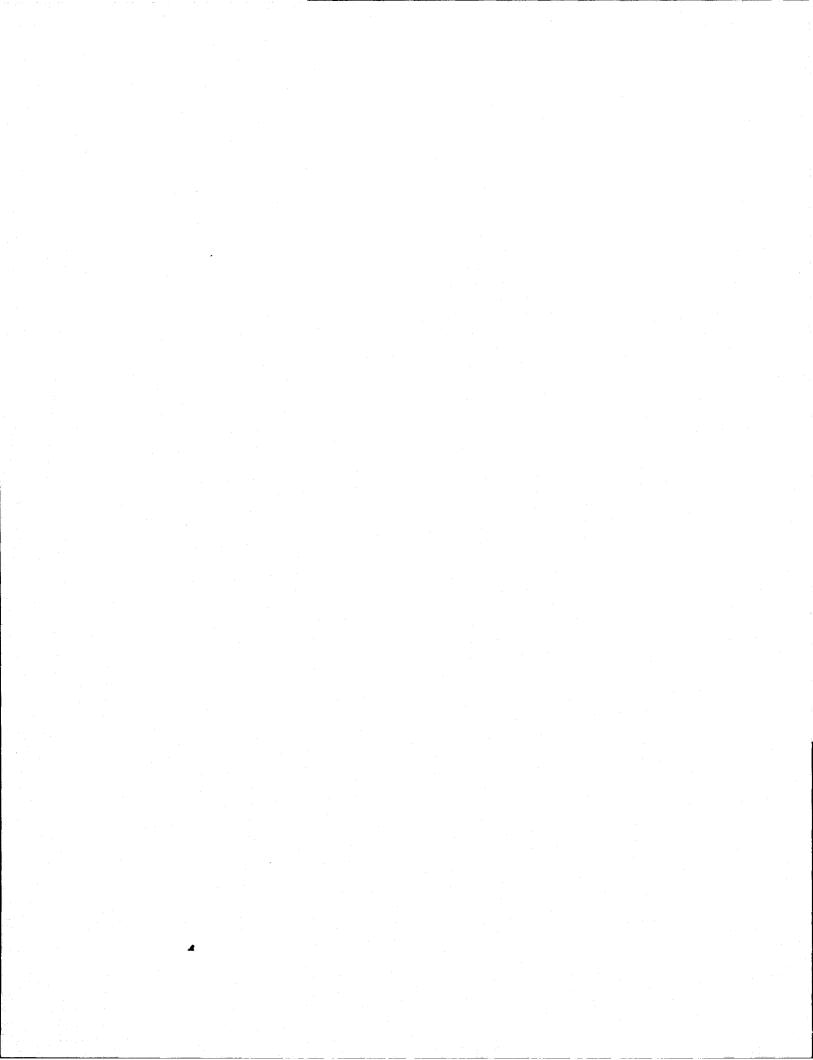
Formal training of patrol officers is not sufficient by itself; there is no substitute for practical experience. Practitioners in the field realize this, too. To the extent that police training is now unrealistic and irrelevant to job requirements, even more valuable and necessary becomes on-the-job experience. An often read and heard complaint is that the class-room and field training of the academy fail to prepare the recruit adequately for on-the-street experiences and the "real" police modus operandi in handling them. But too much should not be expected of the academy.

The need for the effective and early channeling of on-the-job learning experiences raises numerous policy implications and operational issues.

To consider one, for example, if there is any validity to the opinion that experienced coworkers are the best or among the best sources for learning, then two-person patrol beats (foot and/or motorized) would be warranted at least for a certain length of time. Yet two-person patrols constitute a greater staffing burden. Another implication is that supervision and performance evaluation must be up to the task of monitoring, minimizing, and diagnosing learning errors. The overriding implication, as we see it, is for police to develop a systems approach to the preparation and development of inexperienced, young officers. The approach needs to be an integration of the academy classroom instruction and field training or working with probation and post-probation assignments and experiences. Some agencies are working toward this, for example, by interweaving field training with classroom instruction. The entire probationary period, too, needs to become a more bona fide and valid testing ground. Further, post probationary assignments with experienced co-workers under supervised observation and direction would be desirable. Not to be overlooked is the familiarization of trainers with on-the-street experiences. There is something to be said for upgrading the quality of instructors, but this should not mean locking them into a certification process which may tend to further isolate them from (renewing) on-the-street experiences themselves. Any certification process should thus include these experiences as a factor.

d. <u>Future Outlook for Patrol Officer Occupation</u>. What changes, if any, can realistically be expected to occur during the next five years in the task and/or knowledge profiles of the patrol officer occupation? This question was addressed during the final occupational consultant conference.

It is predicted that the emerging police agent position will become more prevalent five years from now. It is expected that this position will



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be a composite profile of a senior patrol officer, field investigator, evidence technician and assistant supervisor. The agent will also be assigned to specialty units, such as planning and research, in order to give such units a generalist's perspective. It is likely, therefore, that there will be the need five years from now for a new, nationwide task profile just for police agent.

As a result of the predicted prominence of this position, it is also expected that certain knowledge and skill requirements will be increased in emphasis. These requirements are the following:

- 1. police history, role and mission
- 6. legal issues/trends in criminal law enforcement
- 9. preparation and execution/issuance/processing of a warrant or subpoena
- 16. leadership and supervision
- 20. motivation, morale and police productivity
- 33. investigation of specific crimes
- 43. crisis intervention, dispute settlement
- 53. use of agency computer terminal

There are additional and independent perspectives from the NMS project which could be applied to predictions about the future police officer if time only permitted. Passing mention can only be made here of some of these perspectives, and no effort can be taken here to attempt to relate these changes to specific tasks and/or knowledge/skill elements of the respective profiles.

It will be recalled that chief executives and middle level managers were asked during our on-site visits whether they thought the work of their agencies would change in any basic ways during the next five years. A few interviewees foresaw no fundamental changes, and a few who commented affirmatively revealed

no basic changes, but rather changes in style or minor variations in present operations. We have listed below those responses which might be expected to have some bearing or influence whatever the degree, if any, on the future direction of patrol officer work and/or knowledge/skill requirements:

- crime is expected to continue to become more violent, sophisticated and organized
- decentralization of police operations
- computerization and other technological developments anticipated
- more team vs individual policing
- greater public accountability of the police officer's actions expected
- more orientation toward delivery of social services
- more community relations and human relations orientation
- more civilianization
- more juvenile and adult diversion programs
- more special client programs such as senior citizen security
- more personalized approach to law enforcement
- less regulatory work
- more crime prevention activities

Time also has not permitted us to analyze the tasks and knowledge/skill profile implications of chief executives' expressed plans during the next five years with respect to all of the 32 activities in the law enforcement activities checklist interviews. But there are certain salient activities which, if they should become more established as trends in the Nation, might be expected to have some degree of impact upon the patrol officer occupation. We are referring to such activities as team policing, civilianization and specialization. The effects of team policing, for example, are probably similar to the ones represented in the future occupational portrait of the police agent. The effects of civilianization, as a further example, would be to de-emphasize

or eliminate the more conspicuous nonsworn elements from the task and/or knowledge/skill requirement. Trends can also, of course, interact or mutually reinforce the effects of one another. There appears, for instance, to be no logical reason why sworn officers need staff booths in shopping centers and visit in homes to promote crime prevention and to educate the public in general. It is not even heresy to think such work might be effectively done by volunteer citizens (and is done so in a few instances that we know of).

4. Occupational Analysis of Patrol Supervisor

a. <u>Patrol Supervisor Task Profile</u>. As can be seen from Table VIII-III-18, task checklists were completed and returned by 165 first line patrol supervisors. They represent medium and large municipal/county police agencies and sheriffs' departments. The median age of these supervisors was 36 years, and they had a median of 11 years of employment in their agencies. The mediam level of formal education attained at the time of the study was a two-year college degree.

The task profile of the patrol supervisor occupation appears in Table VIII-III-23. The profile includes all but three (tasks 22-24) of the 46 tasks in the original checklist, plus four tasks added by the consultants during the final trial occupational analysis conference. The three rejected tasks failed to meet the criterion for being retained in a final composite profile. All three rejected tasks deal with specialized investigative activities. The four additional tasks were added primarily to account for certain task write-ins.

The patrol supervisor's task profile includes 10 more tasks than in the profile of the patrol officer occupation. These tasks involve supervisory responsibilities. There is, too, considerable overlap between the two profiles since first line supervisors often spend time performing basic operational duties. Four of the basic tasks (tasks 1, 2, 12, and 30) which typically require a moderate amount of time or more of patrol officers also require roughly the same amount of time of the typical patrol supervisor in our sample.

A first line supervisor occupation can be thought of as a bridge or transition between basic operational duties and middle management. Supervisors often

Table VIII-III-23

Task Profile of Patrol Line Supervisor Occupation

Task No. a	Task Description	% Who do Task	Median amount of time spent on Task ^b
1.	·Familiarizes self with assigned patrol area and its citizens, businesses and crime problems, and identifies potential trouble spots.	97.5	2.2
2.	Drives vehicle or walks in assigned patrol area and watches for unusual or suspicious events and irregularities.	93.3	2.1
3.	Responds to calls for service or help and takes action to alleviate or control situation.	92.0	1.6
4.	Interviews suspects, complainants, witnesses and victims of crime to gain information of current or unresolved cases.	82.2	1.2
5. 6.	Enters and conducts proper search of premise in warrant. Establishes and carries out surveillance of persons and things.	80.4 53.4	1.1
7.	Directs traffic at intersections, accidents or points of congestion and issues traffic citations or warning notices to motorists and pedestrians.	71.2	1.3
8.	Administers emergency first aid to injured or ailing persons.	82.8	1.1
9.	Observes speech, odor and movements of stopped motorist or pedestrian to determine degree of drug or alcohol intoxification.	86.5	1.2
10.	Searches for, identifies and recovers lost or stolen property.	69.1	1.1
11.	Assists people with problems or refers them to public service agencies.	96.3	1.8
12.	Enforces law situationally exercising judgement and discretion as to the most effective means for controlling or resolving problems.	97.5	2.2
13.	Pursues fleeing suspects or fugitives by vehicle or on foot.	92.0	1.1
14.	Arrests, searches, and secures suspects and fugitives.	93.2	1.2
15.	Uses physical force and protective equipment such as revolver, baton, hand- cuffs, shot gun and tear gas when necessary to subdue resistance, prevent		
	escape or protect self or public.	96.3	1.1
16.	Informs an arrested person of charges and his legal rights.	93.8 65.0	1.2
$\frac{17.}{18.}$	Participates in booking an arrested person. Discusses charge and circumstances of arrest with arresting officer to	0.00	1.01
10.	ensure they are in accord with law and department policy.	98.2	2.1
19.	Evaluates circumstances and releases arrested person on a citation rather than taking into custody when warranted.	86.4	1.3
20.	Conceives, plans and recommends improvements, innovations and changes in		
·	department policies, objectives, and procedures for coping with crime or providing public service.	78.5	1.5

Table VIII-III-23 (Continued)
Task Profile of Patrol Line Supervisor Occupation

Task No. ^a	Task Description	% Who do Task	Median amount of time spent or Task ^b
21.	Responds to scene of major occurrences, provides advice and assumes leadership of situation as needed.	97.5	2.2
25•	Searches for, collects, labels and packages physical evidence found at crime and accident scenes.	52.4	1.0
26.	Recuits informants on criminal activity and solicits information from them.	58.5	1.1
27.	Acquires and updates information on crime and other police matters by reading station log and reports and computer printouts; exchanging information with fellow officers and other knowledgeable persons, chatting with citizens, and soliciting guidance from superiors.	93.9	2.2
28.	Reports periodic and daily activities verbally and in writing to super- visor.	94.5	2.0
29.	Participates in staff meetings and conferences.	82.9	1.4
30.	Operates voice radio equipment or information system terminal to receive and give information.	95.1	2.1
31.	Provides official information to news media and other government agencies.	71.3	1.1
32.	Attends conferences, seminars, briefings and professional meetings to gather and exchange information.	78.7	1.2
33.	Records field actions and observations in notebook and transposes in- formation into formal report of crimes, accidents or other activities and action taken.	76.1	1.4
34.	Receives, reviews, revises and forwards reports and files on daily activities, crime, accidents, and other incidents.	92.7	2.4
35.	Prepares, reviews, approves and forwards summary statistical reports on crime and police activity.	51.2	1.9
36.	Inspects police personnel and equipment for conformance to regulations.	98.8	2.0
37.	Assigns police and related personnel to duty.	97.0	2.3
38.	Monitors, supervises and schedules police operations and personnel.	95.7	2.6
39.	Receives, investigates reports and takes action on complaints against police personnel or unit operations.	94.5	1.6
40.	Plans, organizes and staffs unit operations utilizing available resources.	71.3	1.8

Table VIII-III-23 (Continued)
Task Profile of Patrol Line Supervisor Occupation

Task No.a	Task Description	% Who do Task	Median amount of time spent on Task ^b
41:	Performs personnel and administrative actions such as interviewing applicants, hearing grievances, evaluating job performance, taking disciplinary action, recommending awards, approving promotions,	90.9	2.0
-/2	approving directives, and counseling subordinate personnel.	93.9	1.7
42.	Receives and imparts training in law enforcement. Responds to local citizen and government groups to promote understand—	93.9	1.07
43.	ing of the police department, advise on citizen responsibilities, and		
	deter crime and criminal activity.	63.4	1.2
44.	Testifies at judicial proceedings.	92.7	1.2
45.	Talks with individuals such as juveniles and families of juveniles to		
,50	build respect for law and order, advise on acceptable behavior and		
	reduce crime and activity.	68.3	1.1
46.	Transports or guards persons in custody.	60.7	1.1
(47.)	Supervises or conducts line-up and other suspect identification tech-	 	
	niques when warranted.	•	
(48.)	Checks files and documentary sources of information.		
(49.)	Exchanges information on cases with prosecuting attorney, probation	<u> </u>	
	officer, or parole officer.		
(50.)	Arranges for the maintenance of equipment and/or the replenishment		
	of supplies.		
(51.)	Conducts security surveys of homes or businesses and gives crime resistance advice.		

^aTask numbers in parentheses denote tasks added by consultants during final occupational analysis conference.

b 1 = A very small amount of time, 2 = a moderate amount of time, and 3 = a considerable amount of time.

spend a good deal of their time shuttling, figuratively speaking, back and forth between the front end of this bridge and the area where they have already been. The general implication of this phenomena for training amounts to the rather staggering problem of ensuring that supervisors do not forget certain basic knowledges and skills, do not become obsolescent as new technologies and concepts develop, and learn to master the relatively difficult art of supervising. Let us see if the results of the knowledge/skill data analysis is consistent with our task analysis results in depicting this transitional nature of the patrol supervisor occupation.

b. Patrol Supervisor Knowledge and Skill Requirements. The patrol supervisor knowledge checklist was completed by 56 respondents, mostly by supervisors themselves. The distribution of these respondents by type of agency is shown in Table VIII-III-18 and is roughly comparable to the distribution of task checklists. The checklist was identical to the one for patrol officer, containing 66 knowledge and skill items organized into five subject areas. Summary data on these items are presented in Table VIII-III-24, which also includes four items added by the consultants.

If the median responses to the job requirement scale were to be taken at their face value, then all of the original knowledge and skill items should be regarded as necessary requirements for this occupation. However, as with the patrol officer occupation, we prefer to limit our emphasis to those items which both the checklist and the functional job analysis procedures agree should be emphasized. The four-quadrant matrix in Figure 2 identifies the 41 quad $\underline{\mathbf{d}}$ and 7 quad $\underline{\mathbf{c}}$ items to be emphasized as knowledge/skill requirements along with the four added ones (one item, number 25, was emphasized by both analytical procedures, but rejected by the consultants). As with the patrol officer

Table VIII-III-24
Knowledge/Skill Profile of Patrol Supervisor

,		Fiel	d Sam		Cor sult		
Kr	nowledges and Skills ¹	Median Job Re- quirement Level	Median Initial Proficiency Level	Difference	Consultant Adjusted Requirement Level	Future Requirement B	Task Markers
	ice Responsibilities and Environ- tal Relationships						
1.	police history, role and mission	2.3	1.9	.4	2.5		job pervasive
2.	criminal justice system/agencies/ relationships	2.4	1.7	.7	2.7		added task 49
d3.	criminal/civil laws	3.0	2.0	1.0	3		task 18
d4.	criminal/civil legal procedures	2.9	1.8	.9	3		task 18
d5.	laws of evidence	3.2	1.9	1.3	3		tasks 18, 25
d6.	legal issues and trends in crim- inal law enforcement	2.6	1.4	.8	2.5		task 12
d7.	local jurisdiction, laws and ordinances	3.0	1.6	1.4	3		tasks 12, 14, 19
d8• .	police authority, responsibili- ties, rights and civil liability	3.1	1.8	1.3	3		tasks 3, 12, 15, 16, 18
9.	preparation and execution/issu- ance/processing of a warrant or subpoena	2.5	1.2	1.3	3		task 5
d10.	citizen rights and processing of complaints against others	2.8	1.7	1.1	2.5		tasks 39, 41
d11.	courtroom procedures, demeanor and presentation of testimony	2.9	1.9	1.0	2.5		task 44
12.	suspect identification	2.5	1.8	.7	2.5		task 4
13.	external pressure groups, radical groups, dissidents	2.3	1.2	1.1	2		task 1
14.	<pre>contemporary social problems (urban, ethnic, etc.)</pre>	2.2	1.2	1.0	2		task l
15.	community needs and resources	2.3	1.2	1.1	2		task 11
B. Org	anization and Management						
d16.	leadership and supervision	3.0	1.6	1.2	2.8		tasks 38, 42
d17.	police organization, administra- tion, and operations			1.2			job pervasive

¹c and d = quad c and d knowledge/skill requirements respectively; e = requirements added by consultants; r = requirements rejected by consultants. See attachments to Appendix for definitions of job requirement and proficiency levels.

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²Blank cells signify no future changes expected.

Table VIII-III-24 (Continued) Knowledge/Skill Profile of Patrol Supervisor

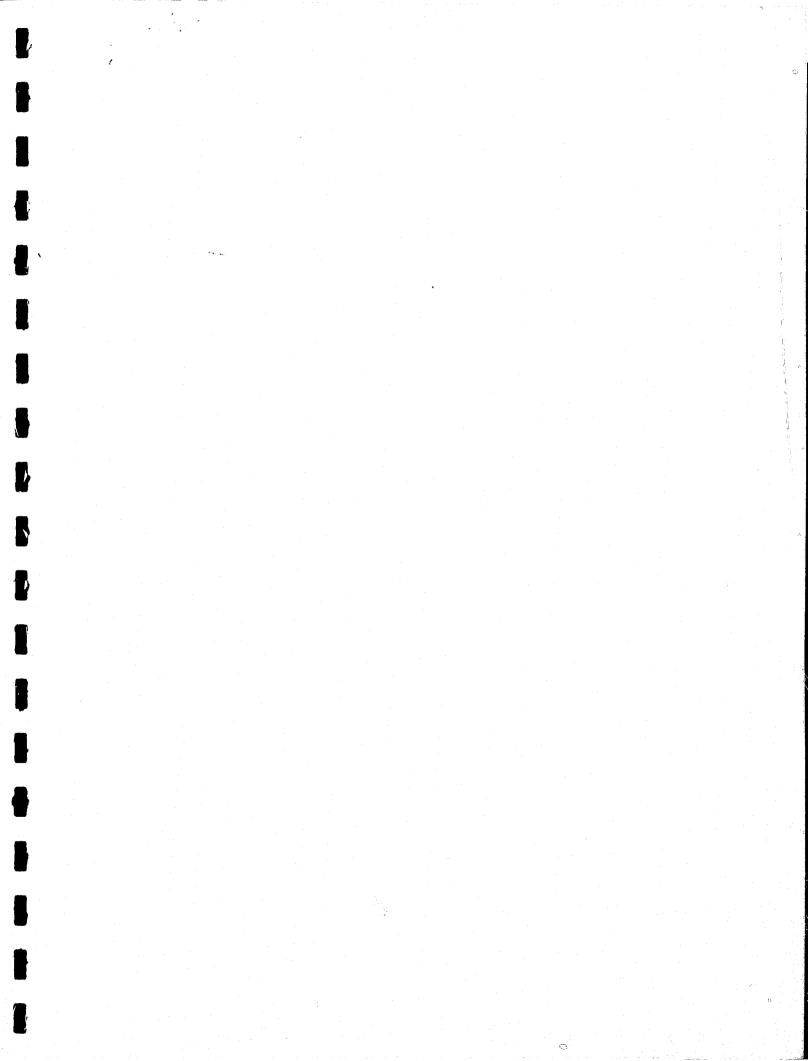
,		Fiel	d Sam	ple	Cor	ants	
Kn	owledges and Skills ¹	Median Job Re- quirement Level	Median Initial Proficiency Level	Difference	Consultant Adjusted Requirement Level	rement	
18.	police labor relations	2.0	1.0	1.0			task 41
d19.	planning and decision-making	2.8	1.2	1.6	2.8		task 38
d20.	motivation, morale, and police productivity	3.0	1.5	1.5	2.5	3.0	task 41
d21.	departmental goals and objectives	3.0	1.6	1.4	2.5		job pervasive
d22.	written and oral communications	3.0	1.8	1.2	2.5		job pervasive
d23.	personnel administration	2.6	1.2	1.6	2.5		task 41
24.	human relations/group processes	2.5	1.4	1.1	2.0		task 41
C. Polic	e Operations				<u> </u>		
Pa	trol Operations:						
e24a.	<pre>patrol techniques: e.g., pre- ventive, random, directed, tactical surveillance</pre>			i.	3.0	В	tasks 1, 2, 6,
e24b.	patrol methods: e.g., 1 vs. 2 man, marked vs. unmarked cars, teams vs. individual		·		2.5		tasks 1, 2, 38
e24c.	provision of non-criminal and misc. public services				2.5	3.0	tasks 1, 3, 38
e24d.	crime resistance (prevention) techniques				2.0	2.5	added task 51
Co	nduct of Investigations:						
r,d25.	preliminary investigations	3.0	1.8	1.2			
26.	techniques for identification of lost/stolen items	2.5	1.6	.9	2.5	į	task 10
d27.	interviewing and eliciting information	3.0	1.7	1.3			task 4
d28.	collecting, recording, analyzing information	2.8	1.5	1.3	3		tasks 4, 27, 28, 34, 35
d29.	information sources and inform- ants	2.6	1.2	1.4	3		tasks 4, 26, 27

Table VIII-III-24 (Continued) Knowledge/Skill Profile of Patrol Supervisor

	Fiel	d Sam	ple	Con		
Kn owledges and Skills ¹	Median Job Requirement Level	Median Initial Proficiency Level	Difference	Consultant Adjusted Requirement Level	Future Requirement Level ²	Task Narkers
30. visual and audio surveillance	2.2	1.1	1.1	2.5		tasks 6, 38
31. field testing for intoxication or use of drugs	2.3	1.3	1.0	2		task 9
c32. operation of breathalyzer	2.6	.9	1.7	2.8		task 38
d33. investigation ofspecific crimes: e.g., arson, burglary, rape, homicide	2.8	1.4	1.4	3		job pervasive
d34. preparation of clear, concise reports	3.1	1.8	1.3	3		tasks 34, 35
d35. traffic control	2.8	1.8	1.0	2.8		tasks 7, 38
d36. traffic laws and ordinances	2.9	1.9	1.0	2.9		tasks 7, 38
d37. traffic accident investigation	2.7	1.6	1.1	2.7		tasks 21, 38
c38. crowd/riot control	2.8	1.3	1.5	2.8		tasks 21, 38
c39. hostage and sniping situations	2.6	1.0	1.6	2.6		tasks 21, 38
40. crime strike/task forces	2.2	.9	1.3	2.5	İ	tasks 21, 38
Emergency care and rescue:						
41. fire alarm response	2.1	1.6	.5	2.5		tasks 3, 21, 38
42. first aid/rescue at accidents	2.5	1.8	.7	2.5		tasks 8, 38
d43. crisis intervention, dispute settlement	2.7	1.4	1.3	2.5		tasks 11, 38
Special Problems of Juveniles:						
44. juvenile justice system, laws and procedure	2.5	1.3	1.2	2.5		task 45
45. prevention and control of juven- ile delinquency	2.2	1.1	1.1	2.2		task 45
Departmental Polices/Procedures:						
d46. arrest techniques	3.0	2.0	1.0	3		task 14
d47. hot pursuit/defensive driving	2.9	1.8	1.1	3		task 13
d48. use of physical force, lethal and non-lethal weapons	3.2	2.0	1.2	3		task 15

Table VIII-III-24 (Continued)
Knowledge/Skill Profile of Patrol Supervisor

		• :	Fiel	d Sam	ole	Con- sulta	nts	
	Kn	owledges and Skills ¹	Median Job Re- quirement Level	Median Initial Proficiency Level	Difference	Consultant Adjusted Requirement Level	rucure kequirement.	Task Markers
	c,49.	care and use of firearms	3.1	İ	1.0	3		tasks 15, 36
4	d50.	ing	2.8	1.8	1.0	3		tasks 14, 15
	d51.	disarming, handcuffing, other restraint	2.7	1.9	.8	3		tasks 14 , 15
	c52.	technique for searching a person	2.9	2.0	.9	2.9		task 14
D.	Staff	Services						
	53.	use of agency computer terminal	2.0	.8	1.2	2	2.5	added task 48
	54•	data analysis, synthesis, inter- pretation	1.9	•6	1.3	2		tasks 27 , 35
	d55.	use of agency files	2.6	1.3	1.3	2.6	-	added task 48
	d56.	police-community relations	2.7	1.6	1.1	2.5		task 43
	57.	police-media relations	2.5	1.3	1.2	2.5		task 31
	d58.	release of information	2.6	1.3	1.3	2		task 31
	c59.	issues requiring legal interpretation	2.8	1.2	1.6	3		tasks 14, 38
E.	Auxil:	iary and Technical Services						
	60.	departmental communications	2.5	1.6	.9	2	· .	task 30
	61.	criminalistics/forensic science	2.2	1.1	1.1	2		task 25
	c62.	protection/analysis of crime scene	3.0	1.6	1.4	3		tasks 3, 14, 38
	63.	police photography	1.8	.6	1.2	1.8		rejected task 22, 3
	64.	finger prints - collection, prep- aration, classification, use	1.9	.8	1.1	2		tasks 25, 38
	65.	capabilities of crime laboratory	2.3	1.3	1.0	2		tasks 25, 38
•	d66.	availability, use, maintenance of police supplies and equipment	2.8	1.6	1.2	2.5		tasks 36, 38 added task 50



Decision Based on FJA Matrix

Reject Knowledge

Item

Keep Knowledge Item

Patrol Supervisor

Decision Based on the Knowledge Checklist Data

63, 64, 65	
f = 10 agreements	f = 7 disagreements
a	С
1, 2, 9, 14, 15, 24, 26, 30,	3, 4, 5, 6, 7, 8, 10, 11, 16,
42, 44, 45, 54, 57, 60, 61	17, 19, 20, 21, 22, 23, 25, 27,
	28, 29, 33, 34, 35, 36, 37, 43,
	46, 47, 48, 50, 51, 55, 56, 58, 66
f = 15 disagreements	d f = 34 agreements

Figure 2. Four-quadrant matrix showing agreement (67%) and disagreement (33%) between two independently conducted job analyses procedures on the knowledge and skill requirements of the patrol supervisor occupation.

knowledge checklist, the consultants made what they deemed to be more realistic adjustments in some of the requirement levels, and these adjustments are shown in Table VIII-III-24.

The first line supervisor must know comparatively more knowledges and skills in order to perform capably than the patrol officer. There are 36 emphasized knowledge/skill requirements for the operational occupation as opposed to 44 for the supervisory occupation. The level of proficiency required is also somewhat greater for the patrol supervisor (the average level is 2.6 as opposed to the average level of 2.4 for the patrol officer occupation). There is thus more depth and breadth of knowledges and skills required of patrol supervisors.

Table VIII-III-24 also identifies the task markers for the knowledge and skill requirements which were not rejected by the consultants (only one knowledge item was rejected, number 25). Five of the knowledge/skill requirements are job pervasive, while the majority of the requirements have one or more clearly identified task markers. The average number of task markers per knowledge/skill requirement is 1.7 markers. For the patrol officer occupation, the average number of task markers per knowledge/skill requirement is 1.3 markers. There is thus required a broader application of any given knowledge or skill for the supervisory occupation.

c. <u>Training and Education Implications</u>. We have already touched upon the training and education implications of our analyses so far of the patrol supervisor occupation by observing that it involves more tasks and a greater breadth and depth of knowledge and skill requirements than does the patrol officer occupation. The patrol supervisor must be fairly knowledgeable and skillful in both police operations and supervision. This fact is

further borne out by the rank ordering of the five broad subject areas according to the percentage of their emphasized knowledge/skill requirements. The ranking is shown below with the percentages and average requirement levels for the patrol supervisor occupation in parentheses to the left of those for the patrol occupation.

- B. Organization and Management (78%; 2.7), (33%; 2.4)
- C. Police Operations (68%; 2.7), (74%; 2.8)
- D. Staff Services (57%; 2.4), (0%; 2.1)
- A. Police Responsibilities and Environmental Relationships (53%; 2.7), (60%; 2.7)
- E. Auxilliary and Technical Services (28%; 2.4), (28%; 2.3)

We see from the above that the knowledge and skill requirements for police operations, responsibilities and environmental relationships, and auxilliary/technical services need to be emphasized almost as much for the patrol supervisor occupation as for the patrol officer occupation. The differences between the two occupations are noticeable in that organization and management has the highest priority for the supervisory occupation, and staff services ranks third for this occupation as opposed to last for the patrol officer occupation. The average level of subject area emphasis for the supervisory occupation (57%; 2.6) is also higher than the level for the patrol officer occupation (30%; 2.4).

With regard to the specific knowledges and skills, those with the highest deficiency values (≥1.5 difference measure) are listed in Table VIII-III-25. These deficiencies are fewer in number and dissimilar in content from the knowledge/skill deficiencies of the patrol officer occupation. A review of our data from interviews with police chief executives and middle managers also appears to suggest that supervisory deficiencies are relatively less prominent.

Table VIII-III-25

The Most Prominent Knowledge and Skill

Deficiencies Typically Characteristic of Patrol Supervisors

Item Number ^l	Knowledge or Skill	Deficiency Value ²
c32.	operation of breathalyzer	1.7
d19.	planning and decision making	1.6
d23.	personnel administration	1.6
c39.	hostage and sniping situations	1.6
c59.	issues requiring legal interpretation	1.6
d20.	motivation, morale and police productivity	1.5
c38.	crowd/riot control	1.5

¹ The codes c and d represent quad c and d items

The deficiency value is the difference measure drawn from Table VIII-III-24

Supervisory training was only mentioned in four of the 31 agencies visited as either a critical training need or as a subject area needing improvement. There could be several explanations for why there are as few knowledge/skill deficiencies as there are within a relatively more complex, transitional occupation. First line supervisors may tend to retain much of their basic operational proficiency. They undoubtedly get retrained or updated in some basics such as firearm's proficiency, for example, through annual or regular inservice training programs. Thirdly, the majority of the agencies visited routinely sent officers after promotion to first line supervisor to formal supervisory training programs.

While it may not be a very high priority need within law enforcement, we suspect, nevertheless, that training of supervisors in supervisory and other proficiencies cannot be discounted as a problem. The average deficiency level for all emphasized knowledge/skill requirements is essentially the same for both supervision and patrol officer occupations (1.24 and 1.32, respectively). Moreover, the content of the most prominent deficiencies listed in Table VIII-III-25 indicates they are more or less evenly distributed among supervisory and very specialized, operational knowledge and skill training needs. Since most of the supervisors are sent to formal supervisory training programs, the supervisory deficiencies presumably represent deficiencies which remain following this training and must be met in other ways following this training. This raises the question of whether these needs are being satisfactorily met in college courses on personnel administration and other supervisory related courses which many police officers apparently are attending.

Task orientation training and education data for the patrol supervisor occupation is summarized in Table VIII-III-26. The nature of the data is the

Table VIII-III- 26
Training and Education Data on Patrol Supervisor Tasks with Emphasized Knowledge/Skill Requirements

	Knowledge/Skill Requirement Numbers ^a (Difficiency Values) ^b	Deficiency Level ^c	Valuable Where Task y Learnedd	Training Sufficiency ^e % Too	Frequenc	y Each Way	Was Judged Be	est Way to Le	arn Tas	·k		
Jas No		Task D	Most V Source Wh Actually	Little (N=150)	Academic Education	Special Training	Experienced Coworker	On-the-job Training by Supervisor	Other	None Needed	College Course(s) Essential? # Yes	(N) ^f
1	13 14 <u>24a</u> <u>24b</u> <u>24c</u> (1.1) (1.0)		job exper	15%	See Tab	le VIII-II	I-22					
2	24a 24b	2	job	12%	0	1	2	0	1	0	1	(3)
3	$\frac{8}{(1.3)}$ $\frac{41}{(.5)}$ $\frac{62}{(1.4)}$ $\frac{24c}{(1.4)}$	2	job exper	14%	0	2	0	0	0	0	1	(2)
4	12 27 28 29 (.7) (1.3) (1.3) (1.4)	2	job exper	34%	1	0	1	0	0	0	1	(2)
6	30 <u>24</u> a (1.1)	2	job exper	41%.	0	1	0	0	0	0	0	(1)
7	$\begin{array}{c c} 35 & 36 \\ \hline (1.0) & (1.0) \end{array}$	3	job exper	5%	0	0	0	2	0	0	0	(2)
11	15 <u>43</u> (1.1) (1.3)		job exper	30%	See Tab	le VIII-II	1-22					
12	$\frac{6}{(8.)} \frac{7}{(1.4)} \frac{8}{(1.3)}$	2	job exper	27%	1	1	0	1	0	0	2	(3)
13	$\frac{47}{(1.1)}$	3	job exper	18%	0	1	1	0	0	0	0	(1)
14	$\begin{array}{c ccccccccccccccccccccccccccccccccccc$	3	job exper	16%	0	2	0	0	0	0	0	(2)
15	$\begin{array}{c ccccccccccccccccccccccccccccccccccc$	3	job exper	36%	0	2	0	0	0	0	0	(2)
			& formal trng.	• .								
16	8 (1.3)	3	formal trng.	7%	0	1	Ö	0	0	0	0	(1)
18	$\begin{array}{c ccccccccccccccccccccccccccccccccccc$	3	job exper	22%	0	2	1	1	0	0	0	(2)
19	$(\frac{7}{(1.4)})$	2	job exper	137 -	0	0	1	1	0	. 0	0	(1)
21	$\begin{array}{ c c c c c c c c c c c c c c c c c c c$	2	job exper	34%	0	2	2	1	2	0	1	(5)
25	5 61 64 65 (1.3) (1.1) (1.1) (1.0)		formal trng	30%	See Tab	le VIII-II	I-22					
26	(1.4)	3	job exper	55%	0	1	0	0	0	0	0	(1)
27	28 29 54 (1.3) (1.4) (1.3)	3	job exper	147	1	5	1	0	0	0	1	(6)

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Table VIII-III-26 (continued)

	Knowledge/Skill Requirement Numbers ^a (Difficiency Values) ^b	Deficiency Level ^c	t Valuable. Where Task ly Learned ^d	Training Sufficiency ^e	Frequency	y Each Way	Was Judged Be	est Way to Le	arn Tas	ik		
Task No.		Task D	Most Va Source Wh Actually	% Too Little (N=150)	Academic Education	Special Training	Experienced Coworker	On-the-job Training by Supervisor	Other	None Needed	College Course(s) Essential? # Yes	(N) f
28	28 (1.3)	3	job exper	12%	0	5	o	1	0	0	2	(7)
31	57 <u>58</u> (1.2) (1.3)	2	job exper	33%	1	1	, 0	0	0	0	1	(2)
34	$\frac{28}{(1.3)} \frac{34}{(1.3)}$	2	job exper	15%	1	4	1	0	0	0	1	(3)
35	$ \begin{array}{cccccccccccccccccccccccccccccccccccc$	2	job exper	34%	1	2	1	0	0	0	1	(2)
36	$\frac{49}{(1.0)} \frac{66}{(1.2)}$	1	job exper	8%	0	2	0	1	0	0	0	(3)
38	$\begin{array}{c ccccccccccccccccccccccccccccccccccc$	3	job exper	20%	1	4	1	0	2	0	3	(6)
39	10 (1.1)	2	job exper	37%	0	4	0	0	0	0	1	(4)
41	$\begin{array}{c ccccccccccccccccccccccccccccccccccc$	2	job exper	51%	1	8	2	2	0	0	3	(12)
42	$\frac{16}{(1.4)}$	3	job exper	42%	1	1	0	0	0	0	2	(2)
43	56 (1.1)	5	job exper	44%	1	0	0	0	0	0	1	(1)
44	$\frac{11}{(1.0)}$	3	job exper	25%	1	1	0	1	0	0	0	(1)
48	53 <u>55</u> (1.2) (1.3)				-							
50	66 (1.2)											
51	<u>24d</u>											
		x= 2.5		x= 26%	11 (14%)	53 (69 %)	14 (18 %)	11 (14 Z)	5 (6%)	0 (0%)	22 (28 2)	(77)

aknowledge/skill requirement numbers refer to those in Table 3. Underscored requirements are the emphasized ones. There are no training and education data for the three tasks (tasks 47, 48, 50) added by the consultants.

bDifficiency values are the difference measures drawn from Table 3.

CDifficulty scale: 1 - not at all difficult, 2 - slightly difficult, 3 - moderately difficult, 4 - very difficult, 5 - most difficult

dThere were three possible sources: job experience, formal training, college course

eThere were three response categories: too little, about right, too much. A miniscule percentage checked the third category.

fN is the number of subject matter experts (authoritative job incumbents usually) who provided data on task difficulty, best way to learn, and essentiality of college courses. N is sometimes lower than the sum of the frequencies because some experts listed more than one best way.

same as that in Table VIII-III-22 for the patrol officer occupation, and we would add the cautionary note here that the number of subject matter experts (usually patrol supervisors) who provided training and education data using the functional job analysis procedure is even smaller for many of the tasks.

With this caution in mind, the following observations are offered concerning the training and education implications of the task oriented data in Table VIII-III-26.

- All of the 32 tasks have one or more emphasized knowledge/ skill requirements. The average number of such requirements per task is 3.2. This is noticeably more than the average number of such requirements for the patrol officer occupation (2.4).
- The content of the tasks (tasks 1, 14, 15, 21, 38, 41) with the most knowledge/skill requirements is evenly differentiated between supervisory and operational responsibilities.
- The tasks range in judged level of difficulty from easy to most difficult. The average difficulty level is 2.5 as opposed to 2.8 for the patrol officer occupation. The one task (task 43) judged most difficult (by one and only one subject matter expert) probably is a difficult one since it requires promoting crime prevention, an often neglected or underemphasized individual, community and agency responsibility, before public groups.
- As with the patrol officers in our sample, the patrol supervisors judged informal on-the-job experience to be the most valuable of the actual sources for learning to perform tasks capably.
- The percentage of patrol supervisors who felt they received too little training ranged from five percent to 55 percent.

For all but two tasks (tasks 26 and 41), the majority of respondents felt the amount of training received was about right. The two tasks involve recruiting informants on the one hand and performing personnel and administrative actions on the other. The average percentage for all of the listed tasks (26%) is roughly the same as that for just the supervisory related tasks (28%).

Thus, about one-fourth of our sample of supervisors typically have received too little supervisory training and too little training (in-service apparently) in the other areas of responsibility. We say "apparently" because we are not certain whether supervisors were thinking about their initial recruit training or in-service training in responding to the question of the task checklist.

- The majority of the supervisors judged special (in-service, presumably) training to be the one best way to learn most of the tasks.
- On seven of the tasks (tasks 3, 4, 12, 31, 35, 42, 43), one-half or more of the respondents felt that college courses would be essential or highly desirable for performing the tasks. However, a review of the GED ratings for these tasks cast some doubt on the essentiality of a college course (although the average GED ratings for reasoning, 3.7; and language development, 3.7; were both higher than the average ratings for the patrol officer tasks). For two of the other tasks (tasks 20 and 38) in the profile, however, the GED ratings imply the desirability of a college course(s).
- d. <u>Future Outlook for Patrol Supervisor Occupation</u>. During the final occupational analysis conference, few changes were said to be realistically expected to occur in the patrol supervisor occupation during the next five years. No changes were expected in the task profile. Only four knowledge and skill requirements were expected to increase in emphasis:
 - 20. Motivation, morale, and police productivity This requirement is expected to become a core element of the future supervisor's job because of increasing emphasis on productivity and because of the relatively little emphasis it has received traditionally.
 - 24c. Provision of non-criminal and miscellaneous public services This requirement will increase as part of the continued
 trend to provide more of these types of services and as
 police agencies become more social-service oriented.
 - 24d. Crime resistance (prevention) techniques This requirement will increase because it traditionally has been relatively neglected, but crime prevention is gradually becoming recognized as a more potential strategy of coping with increasing criminal activity.

53. Use of agency computer terminal - This will increase because of expanded use of computers and computer terminals.

5. Occupational Analysis of Detective

a. <u>Detective Task Profile</u>. Task checklists were completed and returned by 154 detectives. Their distribution by agency type, as shown in Table 18 is essentially the same as that of patrol officers. The median age of the detectives was 33.5 years, and they had a median of eight years of employment in their agencies. The median level of formal education attained at the time of the study was approximately two years or college.

The task profile of the detective occupation is shown in Table 27 and includes 37 of the 49 tasks in the original checklist plus five tasks added by the consultants during the final occupational analysis conference. The 12 rejected tasks failed to meet the criterion for being retained in a final composite profile and deal primarily with supervisory type activities. A thirteenth task (task 23) failed to meet the criterion, but the consultant recommended restoring it to the profile. The four added tasks account primarily for tasks written in by the respondents.

Detectives typically spend a moderate amount of their time or more on 12 of the tasks (tasks 1-3, 8, 10, 12, 17, 29, 33, 35, 37 and 49). These tasks thus define the most prominent core of the detective occupation in so far as amount of time consumed is concerned. Of the 12 core tasks, interviewing complainants, witnesses and victims of crime is clearly the most time consuming task of all. In light of the recent research findings that purportedly indicate it is the interviewing done by patrol officers who are usually the first to respond to the scene that account for most of the solving

Table VIII-III-27

Task Profile of Detective/Criminal Investigator Occupation

Task No.	Task Description	% Who do Task	Median amount of time spent on Task ^b
1.	Interviews complainants, witnesses and victims of crime to gain information on current or unresolved cases.	98.1	2.6
2.	Examines and evaluates information from interviews and observations	100.0	2.4
3.	Reads, reviews and evaluates crime investigation report and related material on cases.	90.8	2.2
4.	Responds to calls for service or help and takes action to alleviate or control reported situation.	74.7	1.4
5.	Enters and conducts search of premises specified in warrant or following "hot pursuit" of suspect or fugitive.	94.2	1.3
6.	Collects, receives, inventories, stores, issues, accounts for and disposes of physical evidence of crime.	76.6	, 1.3
7.	Establishes and carries out surveillance of persons and things.	90.8	1.5
8.	Plans for and interrogates suspects.	97.4	2.2
9.	Supervises or conducts "line-up" and other suspect identification tech- niques when warranted.	64.3	1.1
·10.	Studies and evaluates available information on suspects.	97.4	2.1
11.	Searches for, identifies and recovers lost or stolen property.	83.7	1.6
12.	Enforces law situationally, exercising judgement and discretion as to most effective means for controlling or resolving problems.	87.0	2.0
13.	Assists people with problems or refers them to public service agencies.	90.8	1.4
14.	Establishes and updates general intelligence and information files on known offenders and criminal activity.	70.8	1.5
15.		87.0	1.1
16.	Arrests, searches and secures suspects and fugitives.	96.1	1.8
_17.	Informs arrested persons and suspects of legal rights.	98.1	2.2
18.	Uses physical force and protective equipment such as revolver; baton, handcuffs, shot gun and tear gas when necessary to subdue resistance,		
	prevent escape or protect self or public.	95.5	1.2
19.	ensure they are in accord with law and department policy.	83.8	1.8
20.	than taking into custody when warranted.	55.9	1.1
21.	Conceives, plans and recommends improvements, innovations and changes in department policies, objectives, and procedures for coping with crime or providing public service.	45,8	1.1

Table VIII-III-27 (Continued) Task Profile of Detective/Criminal Investigator Occupation

Task No.a	Task Description	% Who do Task	Median amount of time spent on Task ^b
	Responds to scene of major occurrences.	72.7	1.5
	Photographs locations, individuals, and crime and accident scenes.	33.8	1.2
24.	Diagrams or sketches locations, individuals and crime and accident scenes.	50.6	1.1
26.	Searches for, collects, labels and packages physical evidence found at crime and accident scene.	68.2	1.5
28.	Recruits informants on criminal activity and solicits information from them.	90.9	1.9
29.	Reports periodic and daily activities verbally and in writing to super- visor.	90.3	2.1
30.	Participates in staff meetings, briefings, professional meetings, conferences and coordination meetings.	56.5	1.2
31.	Prepares "wanted" advisories for distribution to other officers and agencies.	69.5	1.2
33.	Prepares individual case folders.	90.9	2.3
34.	Prepares and submits requests, and supporting affidavits and documents for arrest and search warrants.	89.6	1.6
35.	Records field actions and observations and transposes information into formal report of crimes, accidents or other activities and action taken.	80.5	2.2
36.	Receives, reviews, revises and forwards reports and files on daily activities, crime, accidents, and other incidents.	50.0	1.8
37.	Prepares formal charges on suspects.	87.6	2.1
44.	Prepare witnesses for testifying in court.	56.5	1.2
48.	Talks with individuals such as juveniles and families of juveniles to build respect for law and order, advise on acceptable behavior and		
49.	reduce crime and unacceptable activity.	$\frac{52.3}{00.7}$	1.6
		98.7	2.0
	Checks files and documentary sources of information. Protects the crime scene.		
	Exchanges information on cases with prosecuting attorney, probation officer, or parole officer.		
(53.)	Transports or guards persons in custody.	1	· · · · · · · · · · · · · · · · · · ·
	Operates voice radio equipment or information system terminal to receive and give information.		

^aTask numbers in parentheses denote tasks added by consultants during final occupational analysis conference.

 b_1 = A very small amount of time, 2 = a moderate amount of time, and 3 = a considerable amount of time.

of crimes, one wonders how much of the follow-up interviewing by detectives might be a futile effort. 25

Some of the tasks in the profile are probably less prominent areas today within the detective occupation because of the emergency of the new specialty, evidence technician (to be reported on shortly below). The task (number 26) involving searching for and collecting physical evidence, for instance, is performed by 68% of the detectives in our sample who spend between a very small and a moderate amount of time on this task in contrast to the evidence technicians in our sample, 100% of whom perform this task and spend a considerable amount of time on it.

b. <u>Detective Knowledge and Skill Requirements</u>. The knowledge checklist was completed by 33 respondents, mostly detectives. The distribution of these respondents by type of agency is shown in Table 18. The checklist is the same as that completed by the patrol officers and supervisors. Summary data on the responses to the checklist items by the detectives are presented in Table 28. The four-quadrant matrix in Figure 3 identifies the 30 quad d and 15 quad c items to be emphasized as knowledge/skill requirements (three of these were later rejected by the consultants - 25, 38, and 42). The consultants made what they judged to be more realistic adjustments in some of the requirement levels, and these adjustments are shown in Table 28.

The number of emphasized knowledge/skill requirements is roughly the same as that for the patrol supervisor occupation and both are higher than that for the patrol officer occupation. The average level of the emphasized

Table VIII-III-28 Knowledge/Skill Profile of Detective Occupation

		Fiel	d Sam	ple	Cor sult:	!	
K	nowledges and Skills ¹	Median Job Re- quirement Level	Median Initial Proficiency Level		Consultant Adjusted Requirement Level	Future Requirement Elevel 2	Task Markers
	ice Responsibilities and Environ- tal Relationships						
1.	police history, role and mission	2.2	1.7	• 5	2.2	2,5	job pervasive
d2.	<pre>criminal justice system/agencies/ relationships</pre>	2.9	1.6	1.3	2,9		added task 52
d3.	criminal/civil laws	3.2	2.1	1.1	3		tasks 16, 19
d4.	criminal/civil legal procedures	3.1	1.9	1.2	3		tasks 5, 17
d5.	laws of evidence	3.5	1.9	1.6	3		tasks 16, 44, 49
c6.	legal issues and trends in crim- inal law enforcement	2.8	1.6	1.2	2.8		tasks 16, 17, 19
d7.	local jurisdiction, laws and ordinances	3.0	1.9	1.1	3		job pervasive
d8.	<pre>police authority, responsibil- ities, rights and civil liability</pre>	3.3	2.2	1.1	3		tasks 16, 18, 19
d9.	preparation and execution/issu- ance/processing of a warrant or subpoena	3.2	1.1	2.1	2	•	task 34
d10.	citizen rights and processing of complaints against officers	2.9	1.7	1.2	2.5		tasks 16, 17
d11.	courtroom procedures, demeanor and presentation of testimony	3.5	2.1	1.4	2		task 49
d12.	suspect identification	3.2	1.9	1.3	2.5		task 9
13.	external pressure groups, radical groups, dissidents	2.3	1.4	.9	2.3		task 4
14.	contemporary social problems . (urban, ethnic, etc.)	2.3	1.8	•5	2.3		none
15.	community needs and resources	2.3	1.5	.8	2		task 13
B. Org	ganization and Management						
c16.	leadership and supervision	2.6	1.2	1.4	2		task 22

c and d = quad c and d knowledge/skill requirements respectively; e = requirements added by consultants; r = requirements rejected by consultants. See attachments to Appendix for definitions of job requirement and proficiency levels.

Blank cells signify no future changes expected.

Table VIII-III-28 (Continued)

Knowledge/Skill Profile of Detective Occupation

		Fiel	d Samp	ole	Cor sult		
Kno	wledges and Skills ¹	Median Job Re- quirement Level	Median Initial Proficiency Level	Difference	ljusted Level	Future Requirement Level ²	Task Markers
_	oolice organization, administra- cion, and operations	2.5	1.6	.9	· .	,	task 30
r18. p	oolice labor relations	2.0	1.1	• 9			
d19. p	planning and decision-making	2.9	1.4	1.5	2.9		job pervasive
	notivation, morale, and police oroductivity	3.0	2.0	1.0	1	2	none
d21. d	departmental goals and objectives	2.7	1.7	1.0	2		job pervasive
d22. w	ritten and oral communications	3.3	1.8	1.5	3 .		job pervasive
r23. p	personnel administration	2.2	1.0	1.2			
24. h	numan relations/group processes	2.4	1.6	.8	2.4		job pervasive
	ce Operations onduct of investigations:						
	oreliminary investigations	3 5	1.8	1.7			
c26. t	techniques for identification of lost/stolen items		1.8				task 11
d27.	interviewing and eliciting infor- mation		1.5	ļ	7		tasks 1, 2, 8
	collecting, recording, analyzing information	3.4	1.6	1.8	3 3		tasks 3, 14
d29. :	information sources and informants	3.4	1.2	2.2	2 3.4		task 28
d30.	visual and audio surveillance	2.9	1.4	1.5	5 3		task 7
	field testing for intoxication or use of drugs	2.4	1.4	1.0	2	2.5	task 6
r32.	operation of breathalyzer	1.8	.8	1.0	}		
	investigation of specific crimes: e.g., arson, burglary, rape, homicide	3.5	1.4	2.:	1 3.5		job pervasive
	preparation of clear, concise reports	3.7	1.8	1.9	2	·3	task 35
Traff	ic supervision and safety:						
r35.	traffic control	2.2	2.0	1 .	1	1	l

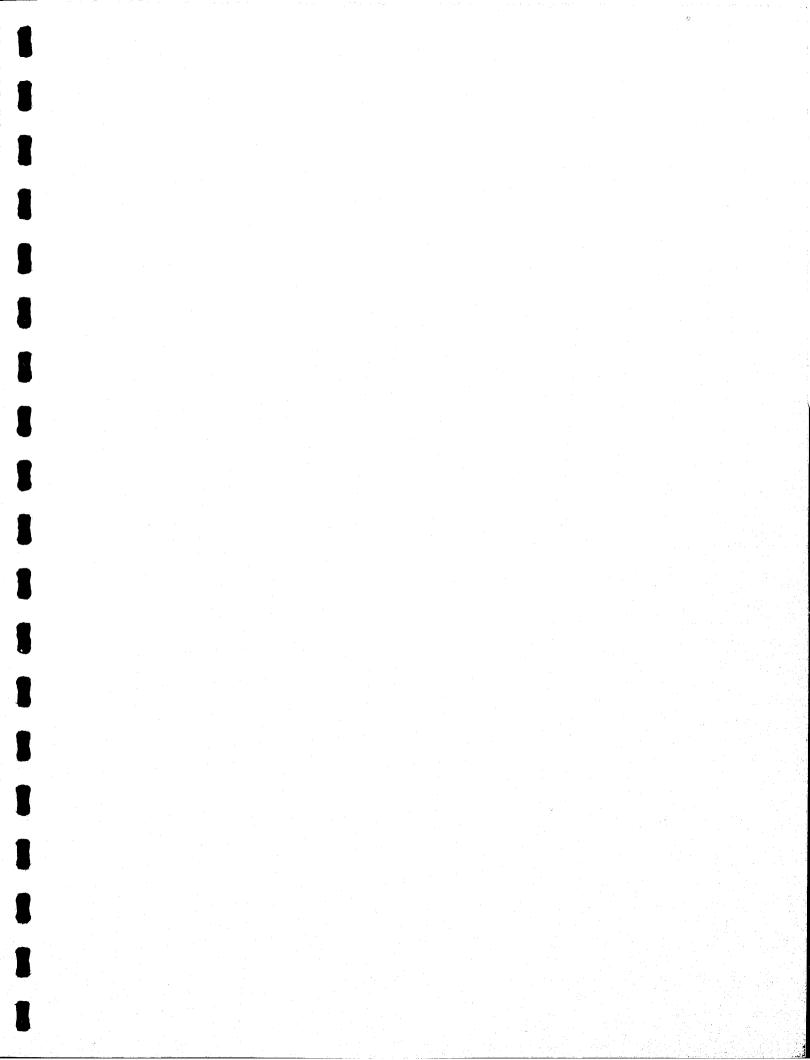
Table VIII-III -28 (Continued)

Knowledge/Skill Profile of Detective Occupation

	Fiel	d Sam	ple	Co: sult		
Knowledges and Skills¹	Median Job Re- quirement Level	Median Initial Proficiency Level	Difference	Consultant Adjusted Requirement Level	Future Requirement Level ²	Task Markers
r36. traffic laws and ordinances	2.4	2.0	. 4			•
c37. traffic accident investigation	2.6	2.0	•6	2.6		task 26
Police tactical operations:						
r,c38. crowd/riot control	2.8	1.9	.9			
c39. hostage and sniping situations	.2.8	1.2	1.6	3		task 22
c40. crime strike/task forces	2.6	1.2	1.4	2.6		tasks 3, 7, 22
Emergency care and rescue:						rejected task
r41. fire alarm response	2.3	1.7	.6			
r,c42. first aid/rescue at accidents	2.6	2.1	•5			
43. crisis intervention, dispute settlement	2.5	1.8	.7	2.5		tasks 4, 48
Special problems of juveniles:						·
c44. juvenile justice system, laws, and procedure	2.9	1.6	1.3	3		task 48 •
45. prevention and control of juvenile delinquency	2.5	1.5	1.0	2.5		task 48
Departmental policies/procedures:						
d46. arrest techniques	3.4	2.2	1.2	2		task 16
d47. hot pursuit/defensive driving	3.2	2.0	1.2	3		task 15
d48. use of physical force, lethal and non-lethal weapons	3.5	2.2	1.3	3		task 18
c49. care and use of firearms	3.3	2.4	.9	3		task 18
d50. defensive tactics/physical train- ing	2.9	2.3	.6	3		task 18
d51. disarming, handcuffing, other restraint	3.0	2.3	.7	3		tasks 16, 18
c52. technique for searching a person	3.3	2.4	.9	3	L	tasks 16, 18
D. Staff Services						
53. use of agency computer terminal	2.1	1.1	1.0	2	2.5	added task 50
54. data analysis, synthesis, inter- pretation	2.0	.9	1,1	1	2	task 3

Table VIII-III-28 (Continued)
Knowledge/Skill Profile of Detective Occupation

		Fiel	d Samj	ple	· Con- sultants			
Kr	nowledges and Skills ¹	Median Job Re- quirement Level	Median Initial Proficiency Level	Difference	Consultant Adjusted Reguirement Level	Future Requirement Level ²	Task Markers	
d55.	use of agency files	2.8	1.4	1.4	' '		tasks 10, 14, added	
d56.	police-community files	2.6	1.8	.8	2		task 48 task 50	
57.	police-media relations	2.5	1.3	1.2	2		rejected task 32	
d58。	release of information	2.8	1.2	1.6	2		rejected task 32	
d59.	issues requiring legal interpreta- tion	2.8	1.4	1.4	2		task 16	
E. Aux	iliary and Technical Services							
c60.	departmental communications	2.8	1.9	.9	2		task 4, added task 54	
61.	criminalistics/forensic science	2.4	•9	1.3	2.5	2.7	task 26, added tasks	
· c62.	protection/analysis of crime scene	3.4	1.8	1.6	2.5	2.7	task 6, added task 51	
63.	police photography	2.5	.8	1.7	2.5		task 23	
64.	finger prints - collection, preparation, classification, use	2.4	•9	1.5	2.4		task 26, rejected task 27	
c65.	capabilities of crime laboratory	3.0	1.4	1.6	2.5	2.7	task 26	
d66.	availability, use, maintenance of police supplies and equipment	3.0	1.8	1.2	2.5		job pervasive	



	Deemphasize or Reject Knowledge Item	Emphasize Knowledge Item
	13, 18, 23, 31, 32, 35, 36, 41, 45,	6, 16, 20, 26, 37, 38, 39, 40, 42,
Deemphasize or	53, 57, 63	44, 49, 52, 60, 62, 65
Reject Knowledge	f = 12 agreements	f = 15 disagreements
Item		1 13 disagreements
	а	· c
Total cartain	1, 14, 15, 17, 24, 43, 54, 61, 64	2, 3, 4, 5, 7, 8, 9, 10, 11, 12,
Emphasize Knowledge Item		19, 21, 22, 25, 27, 28, 29, 30, 33, 34, 46, 47, 48, 50, 51, 55, 56, 58,
2604		59, 66
	f = 9 disagreements	f = 30 agreements .
	Ъ	d

Figure 3. Four-quadrant matrix showing agreement (64%) and disagreement (36%) between two independently conducted job analyses procedures on the knowledge and skill requirements of the detective occupation.

knowledge/skill requirements for the detective occupation is also roughly equivalent to that of the patrol supervisor occupation, and both again are higher than the average level for the patrol officer occupation. The detective occupation is thus more like the patrol supervisor occupation in that both involve an equally greater depth and breadth of knowledges and skills than does the patrol officer occupation.

Table 28 also identifies the task markers for the knowledge and skill requirements which were not rejected by the consultants. Eight of the knowledge/skill requirements are job pervasive, while the majority of the requirements have one or more clearly identifiable task markers. The average number of task markers per knowledge/skill requirement is 1.4, which represents a breadth of knowledge/skill application closer to that of patrol officer (average of 1.3 task markers) than that of patrol supervisor (average of 1.7 task markers).

c. Training and Education Implications. We have already observed that the detective occupation is more like the patrol supervisor occupation than the patrol officer occupation in the number and scope of tasks involved and of the knowledges and skills required. The detective and patrol supervisor occupations are also more alike in that the broad knowledge/skill subject areas of organization and management, auxilliary and technical services, and staff services are not as overshadowed in prominence by police operations requirements as they are in the patrol officer occupation. The rank ordering of the five subject areas for the detective occupation according to the percentage of their emphasized knowledge/skill requirements is shown below, followed by the percentages and average requirement levels.

- A. Police Responsibilities and Environmental Relationships (73%; 2.9)
- C. Police Operations (64%; 3.1)
- D. Staff Services (57%; 2.5)
- E. Auxilliary and Technical Services (57%; 2.8)
- B. Organization and Management (56%; 2.6)

As with the patrol supervisor occupation, the average level of subject area emphasis for the detective occupation is higher than for the patrol officer occupation.

With regard to the specific knowledges and skills, those with the highest deficiency values (> 1.5 difference measure) are listed in Table 29. There are roughly the same number of prominent deficiencies for this occupation (14) as there are for the patrol officer occupation (12). All five broad subject areas are represented in the content of the detective knowledge/skill deficiencies, but investigative knowledge/skill requirements grouped within the area of police operations predominate. The most predominate deficiencies are thus in one of the two most prominent knowledge and skill categories. Moreover, these deficiencies represent weaknesses or training needs in many of the more prominent tasks of this occupation.

Task oriented training and education data for the detective occupation is summarized in Table 30. The following observations are offered concerning the training and educational implications of the data shown in this table.

-- All of the 29 tasks have one or more emphasized knowledge/
skill requirements, and thus, each should receive relatively
more attention than the tasks with no emphasized knowledge/
skill requirements in designing the task-oriented content of

Table VIII-III-29

The Most Prominent Knowledge and Skill Deficiencies Typically Characteristic of Detectives

Item Number ¹	Knowledge or Skill	Deficiency Value ²
d29.	information sources and informants	2.2
d9.	preparation and execution/issuance/ processing of a warrant or subpoena	2.1
d33.	investigation of specific crimes: e.g., arson, burglary, rape, homicide	2.1
d27.	interviewing and eliciting information ·	2.0
d34.	preparation of clear, concise reports	1.9
d28.	collecting, recording, analyzing information	1.8
d5.	laws of evidence	1.6
c39.	hostage and sniping situations	1.6
d58.	release of information	1.6
c62.	protection/analysis of crime scene	1.6
c65.	capabilities of crime laboratory	1.6
d19.	planning and decision-making	1.5
d22.	written and oral communications	1.5
d30.	visual and audio surveillance	1.5

 $^{^{\}mbox{\scriptsize 1}}$ The codes c and d represent quad c and d items

 $^{^{2}\,}$ The deficiency value is the difference measure drawn from Table 28.

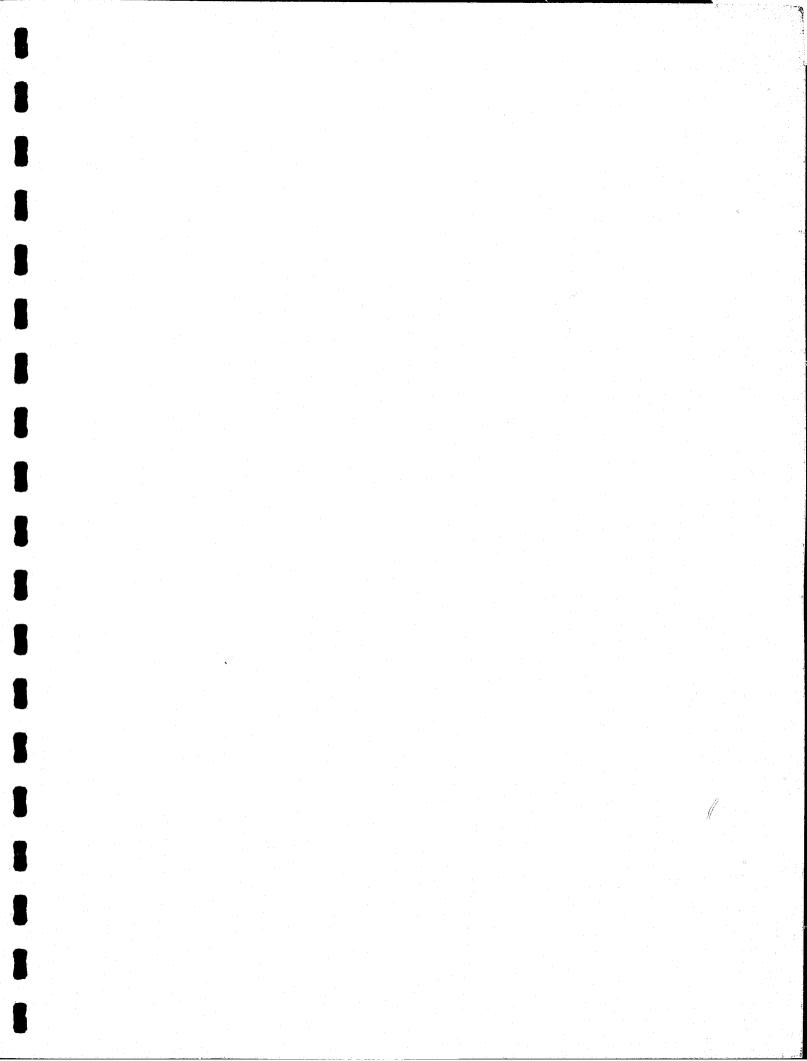


Table VIII-III-30

Training and Education Data on Detective Tasks with Emphasized Knowledge/Skill Requirements

	Knowledge/Skill Requirement Numbers ^a (Difficiency Values) ^b	Deficiency Level	aluable ere Task Learnedd	Training Sufficiency ^e Z Too	Frequ	iency Each	Way Judged Be	est Way to Le	arn Tas	k		
Task . No.		Task D	Most Valuable Source Where Task Actually Learnedd	2 100 Little (N=154)	Academic Education	Special Training	Experienced Coworker	On-the-job Training by Supervisor	Other	None Needed	College Course(s) Essential? # Yes	
1	<u>27</u> (2.0)	4	job exper.	26%	0	0	2	0	0	0	0	(4)
2	2 <u>7</u> (2.0)	3	job exper.	29%	3	2	3	4	0	0	1	(6)
3	28 40 54 (1.8) (1.4) (1.1)	3	job exper.	20%	2	6	3	0	1	0	3	(11)
4	13 43 <u>60</u> (.9) (.7) (.9)	2	job exper.	14%	0	2	0	0	0	1	1	(3)
5	<u>4</u> (1.2)	2	job exper.	34%	1	1	1	1	0	0	1	(4)
6	31 <u>62</u> (1.0) (1.6)	3	job exper.	.25%	1	3	3	0	0	0	2	(11)
7	30 40 (1.5) (1.4)	2	job exper.	35%	0	2	1	1	0	0	0	(2)
8	(2.0) .	4	job exper.	417	0	0	2	0	0	0	0	(4)
9	$\frac{12}{(1.3)}$	3	job exper.	41%	1	2	6	2	1	0	1	(9)
10	55 (1.4)	1	job exper.	26%	1	2	1	0	0	0	0	(3)
11	$\frac{26}{(1.3)}$	2	job exper.	18%	0	. 1	. 1	0	0	0	0	(2)
14	28 55 (1.8) (1.4)	2	job exper.	34%	2	4	9	1	4	0	5	(15)
15	4 <u>7</u> (1.2)	3	job exper.	16%	0	3	1	0	0	0	0	(3)
16	$\begin{array}{c ccccccccccccccccccccccccccccccccccc$	4	job exper.	10%	3	8	2	0	1	0	1	(8)
17	$\begin{pmatrix} \frac{4}{(1.2)} & \frac{6}{(1.2)} & \frac{10}{(1.2)} \\ \end{pmatrix}$	2	job exper.	3%	2	2	2	0	0	0	0	(6)
18	$\begin{array}{c ccccccccccccccccccccccccccccccccccc$	3 .	job exper.	27%	2	6	3	. 0	1	0	0	(7)

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	Knowledge/Skill Requirement Numbers ^a (Difficiency Values) ^b		aluable ere Task Learned ^d	Training Sufficiency [©] % Too	Frequ	k						
Task No.		Task Deficiency Level ^C	Most Valuable Source Where Task Actually Learnedd	Little (N=154)	Academic Education	Special Training	Experienced Coworker	On-the-job Training by Supervisor	Other	None Need e d	College Course(s) Essential? # Yes	(N)f
19	$\begin{array}{cccccccccccccccccccccccccccccccccccc$	3	job exper.	19%	0	2	1	1	0	0	0	(2)
22	16 39 40 (1.4) (1.6) (1.4)	2	formal trng.	33%	0	2	1	1	1	0	0	(4)
26	$\frac{37}{(.6)}$ 61 64 65 (1.3) (1.5) (1.6)	4	job exper.	21%	1	2	1 ,	0	0	0	1	(5)
28	<u>29</u> (2.2)	3	job exper.	447	0	1	0	0	0	0	0	(1)
34	<u>9</u> (2.1)	2	job exper.	42%	0	3	0	0	0	0	2	(3)
35	34 (1.9)	3	job exper.	19%	0	4	0	1	1	0	2	(6)
44	<u>5</u> (1.6)	3	job exper.	28%	o	0	0	1	0	0	0	(2)
48	43 <u>44</u> 45 <u>56</u> (.7) (1.3) (1.0) (.8)	4	job exper.	36%	0	1	0	0	0	0	0	(1)
49	(1.6) (1.4)	3	job exper.	. 23%	1	2	1	1	0	0	1	(4)
50	53 <u>55</u> 61 (1.0) (1.4) (1.3)					·						
51	(1.6)				·							
52	$\frac{2}{(1.3)}$											
54	<u>60</u>											
		- x= 2.8		x= 26%	20 (16%)	61 (48%)	44 (35%)	14 (11 %)	10 (8%)	(.82)	21 (17%)	(126)

^{*}Knowledge/skill requirement numbers refer to those in Table 11. Underscored requirements are the emphasized ones. There are no training and education

[&]quot;Knowledge/skill requirement numbers refer to those in Table 11. Underscored requirements are the emphasized ones. There are no training and edata for the tasks added by the consultants.

Difficiency values are the difference measures drawn from Table 11.

CDifficulty scale: 1 - not at all difficult, 2 - slightly difficult, 3 - moderately difficult, 4 - very difficult, 5 - most difficult define were three possible sources: job experience, formal training, college course enther expense categories: too little, about right, too much. A miniscule percentage checked the third category.

fN is the number of subject matter experts (authoritative job incumbents usually) who provided data on task difficulty, best way to learn, and essentiality of college courses. N is sometimes lower than the sum of the frequencies because some experts listed more than one best way.

- a training program for new detectives. The average number of such requirements per task is 2.2.
- The tasks range in judged level of difficulty from easy to very difficult, with an average level of 2.8 (moderately difficult). The five tasks judged very difficult (tasks 1, 18, 16, 26 and 48) deal primarily with enforcement and investigative interactions between the detective and offenders or clients.
- Informal on-the-job experience was judged to be the most valuable of the actual sources for learning to perform all but one task (task 22).
- The percentage of detectives who felt they received too little training ranged from three percent to 44 percent. About 75% of the detectives sampled were generally satisfied with the amount of training received.
- The majority of the detectives judged special training to be the one best way to learn most of the tasks, but an experienced coworker was also considered by many to be the best way.
- For only one task (task 34) did the majority of detectives think that college courses would be essential or highly desirable. A review of the GED ratings for this task, however, does not lend supporting weight to the reviewers' judgment.

 Moreover, the reviewers themselves were inconsistent in judging the same task to be only slightly difficult. For one of the other tasks (Task 21) in the profile, however, the GED ratings imply the desirability of a college course(s).

- d. Future Outlook for Detective Occupation. The conclusion of the final occupational analysis conference was that no changes were expected during the next five years in the task profile of the detective occupation. Basic investigative operations were expected to remain essentially unchanged, although it was predicted that there would be greater reliance on computerized criminal information to detect criminal patterns and modus operandi. It was also predicted that detectives will generally become more sophisticated in their approach, will appreciate the value of physical evidence more, and will place less value on the role of the informant. There were 10 knowledge/skill requirements which were expected to increase in emphasis during the next five years:
 - Police history, role and mission This requirement will increase in parallel to the increase for the patrol officer.
 - 9. Preparation and execution/issuance/processing of a warrant or subpoena - It is expected that detectives will have to become more "literate" in this paperwork.
 - 17. Police organization, administration and operations Detectives will have to become more perceptive of this subject area.
 - 20. Motivation, morale and police productivity There will be an increased emphasis on police productivity.
 - 31. Field testing for intoxication or use of drugs There will probably be an improvement in field testing techniques.
 - 34. Preparation of clear, concise reports The same basis for the prediction on number 9 above.
 - 53. Use of agency computer terminal There will be greater reliance on computerization.

- 54. Data analysis, synthesis, interpretation There will be more emphasis placed on the analysis of criminal information as a means of detecting patterns of crime and modus operandi.
- 61. Criminalistics/forensic service There will be an increased knowledge of criminalistics and crime scene techniques.
- 62. Protection/analysis of crime scene The same basis for the prediction on number 61 above.

Independently of the final conference, we would add here the speculation that detectives five years from now will become less distinguishable from patrol officers if the emergence of team policing and/or police agents become an established trend.

6. Occupational Analysis of Detective Supervisor

a. <u>Detective Supervisor Task Profile</u>. Task checklists were completed and returned by 96 detective supervisors. Their distribution type appears in Table VIII-III-18. The median age of these respondents was 40.5 years, and they had a median of 15.5 years of employment in their agencies. The median level of formal education attained by the respondents at the time of the study was slightly over two years of college.

The task profile of the detective supervisor occupation is shown in Table VIII-III-31 and includes 41 of the 49 tasks in the original checklist plus six tasks added by the consultants during the final occupational analysis conference for a total of 47 tasks, the same number as the number of tasks comprising the patrol supervisor profile. The eight rejected tasks failed to meet the criterion for being retained in a final composite profile. The rejected tasks deal essentially with specialized crime scene search and analysis work and secondarily with court-related work. The additional tasks were primarily added to account for tasks written in the checklist of the respondents.

b. <u>Detective Supervisor Knowledge and Skill Requirements</u>. The detective supervisor knowledge checklist was completed by 34 respondents, mostly incumbents. The distribution of these respondents by type of agency is shown in Table VIII-III-18. The checklist is the same as that completed by the patrol officers, patrol supervisors, and detectives. Summary data on the responses to the checklist items by the detective supervisors are presented in Table VIII-III-32. The four-quadrant matrix in Figure 4 identifies the quad d and c to be emphasized as knowledge/skill requirements (three of these were later rejected by the consultants - items 25, 35, and 36). (There are slightly more requirements for the detective supervisor occupation-46 requirements—than for the patrol

Table VIII-III-31
Task Profile of Detective Supervisor Occupation

Task No.a	Task Description	% Who do Task	Median amount of time spent on Task b
1.	Interviews complainants, witnesses and victims of crime to gain information on current or unresolved cases.	90.6	1.8
2.	Examines and evaluates information from interviews and observations.	95.8	2.0
3.	Reads, reviews and evaluates crime investigation report and related material on cases.	97.9	2.6
4.	Responds to calls for service or help and takes action to alleviate or control reported situation.	52.6	1.2
5.	Enters and conducts search of premises specified in warrant or following "hot pursuit" of suspect or fugitive.	78.9	1.2
6.	Collects, receives, inventories, stores, issues, accounts for and disposes of physical evidence of crime.	51.0	1.2
7.	Establishes and carries out surveillance of persons and things.	80.2	1.4
8.	Plans for and interrogates suspects.	82.3	1.5
9.	Supervises or conducts "line-up" and other suspect identification tech-	56.3	1.1
10.	Studies and evaluates available information on suspects.	93.7	1.7
11.	Searches for, identifies and recovers lost or stolen property.	61.7	1.2
12.	Enforces law situationally, exercising judgement and discretion as to most effective means for controlling or resolving problems.	84.6	1.7
13.	Assists people with problems or refers them to public service agencies.	82.1	1.6
14.	Establishes and updates general intelligence and information files on known offenders and criminal activity.	63.8	1.5
15.	Pursues fleeing suspects or fugitives by vehicle or on foot.	64.2	1.1
16.	Arrests, searches and secures suspects and fugitives.	87.5	1.3
17.	Informs arrested persons and suspects of legal rights.	87.2	1.3
18.	Uses physical force and protective equipment such as revolver, baton, handcuffs, shot gun and tear gas when necessary to subdue resistance, prevent escape or protect self or public.	87.5	1.1
19.	Discusses charge and circumstances of arrest with arresting officer to ensure they are in accord with law and department policy.	94.8	2.0
20.	Evaluates circumstances and releases arrested person on a citation rather than taking into custody when warranted.	51.0	1.1
21.	Conceives, plans and recommends improvements, innovations and changes in department policies, objectives, and procedures for coping with crime or providing public service.	71.9	

Table VIII-III-31 (Continued) Task Profile of Detective Supervisor Occupation

Task No.a	Wack Nogorintion	% Who do Task	Median amount of time spent on Task ^b
22.	Responds to scene of major occurrences, provides advice and assumes leadership of situation as needed.	76.8	1.4
28.	Recruits informants on criminal activity and solicits information from them.	72.3	1.6
29.	Reports periodic and daily activities verbally and in writing to supervisor.	92.7	2.0
30.	Participates in staff meetings, briefings, professional meetings, confer-		
21	ences and coordination meetings.	89.6	1.4
31.	Prepares "wanted" advisories for distribution to other officers and agencies.	52.1	1.2
32.	Provides official information to news media and government agencies.	65.3	1.2
33.	Prepares individual case folders.	64.9	1.3
34。	Prepares and submits requests, and supporting affidavits and documents for arrest and search warrants.	67.7	1.3
35.	Records field actions and observations and transposes information into formal report of crimes, accidents or other activities and action taken.	64.9	1.2
36.	Receives, reviews, revises and forwards reports and files on daily activities, crime, accidents, and other incidents.	82.3	2.2
37.	Prepares formal charges on suspects.	62.5	1.2
38.	Prepares, reviews, approves and forwards summary and statistical reports on		
40.	crime and police activity. Coordinates crime strike force, major investigations, or other multi- jurisdictional police activity.	74.7 58.3	1.4
41.	Assigns detectives and related personnel to duty.	89.6	2.4
42.	Monitors, supervises and plans and schedules investigative operations and personnel.	87.5	2.3
43.	Receives reports and takes action on complaints against investigative personnel or unit operations.	71.9	1.2
45.	Performs personnel and administrative actions such as interviewing applicants, hearing grievances, evaluating job performance, taking disciplinary action, recommending awards, approving promotions and counseling subordinate personnel.	81.3	1.5
46.	Teaches law enforcement and investigative techniques in formal classes.	52.1	1.2
47.	Responds to local citizen and government groups to promote understanding of the crime problem, advise on citizen responsibility and assist in deter-		
	ring criminal activity.	56.8	1.1

Table VIII-III-31 (Continued) Task Profile of Detective Supervisor Occupation

Task No.a	Task Description	% Who do Task	Median amount of time spent on Task ^b
49.	Testifies at judicial proceedings.	85.4	1.3
(50.)	Checks files and documentary sources of information.		
(51.)	Protects the crime scene.		
(52.)	Exchanges information on cases with prosecuting attorney, probation officer, or parole officer.		
(53.)	Transports or guards persons in custody.		
(54.)	Arranges for the maintenance of equipment and/or the replenishment of supplies.		
(55.)	Operates voice radio equipment or information system terminal to receive and give information.		

^aTask numbers in parentheses denote tasks added by consultants during final occupational analysis conference.

 b_1 = A very small amount of time, 2 = a moderate amount of time, and 3 = a considerable amount of time.

Table VIII-III-32

	Knowledge/Skill Profile of Detecti	ve Su	pervis	or ()ccup	ation	ı. ·
		Fiel	d Sam	ple	Cor sult		
Ks	nowledges and Skills ¹	Median Job Re- quirement Level	Median Initial Proficiency Level		Consultant Adjusted Requirement Level	Future Requirement Level 2	Task Markers
	ice Responsibilities and Environ- tal Relationships						•
1.	police history, role and mission	2.5	2.0	.5	2.5		job pervasive
d2.	<pre>criminal justice system/agencies/ relationships</pre>	3.0	1.9	1.1	3		added task 52
d3.	criminal/civil laws	3.2	2.0	.8	3		tasks 16, 19
d4.	criminal/civil legal procedures	3.2	1.9	1.3	3	,	tasks 5, 17
d 5.	laws of evidence	3.5	2.2	1.3	3		tasks 16, 19
d6.	legal issues and trends in crim- inal law enforcement	2.9	1.8	1.1	2.9		task 12
d7.	local jurisdiction, laws and ordinances	3.1	2.1	1.0	3		tasks 12, 16, 20
d8.	<pre>police authority, responsibil- ities, rights and civil liability</pre>	3.3	2.2	1.1	3		tasks 16, 17, 18
d9.	<pre>preparation and execution/issu- ance/processing of a warrant or subpoena</pre>	3.3	1.5	1.8	3		task 34
d10.	citizen rights and processing of complaints against officers	3.1	2.0	1.1	2.5		tasks 43, 45
d 11.	courtroom procedures, demeanor and presentation of testimony	3.3	2.1	1.2	3		task 49
d12.	suspect identification	3.2	2.1	1.1	2.5		task 9
13.	external pressure groups, radical groups, dissidents	2.4	1.3	1.1	2.4		task 21
14.	<pre>contemporary social problems (urban, ethnic, etc.)</pre>	2.3	1.7	.6	2.5		task 13
15.	community needs and resources	2.5	1.8	.7	2.5		task 13
. Org	anization and Management						
d16.	leadership and supervision	3.1	1.5	1.6	2	2.5	task 45

c and d = quad c and d knowledge/skill requirements respectively; e = requirements added by consultants; r = requirements rejected by consultants. See attachments to 2 Appendix for definitions of job requirement and proficiency levels.

Blank cells signify no future changes expected.

Table VIII-III-32 (Continued)

Knowledge/Skill Profile of Detective Supervisor Occupation . Con-Field Sample sultants Consultant Adjusted Requirement Level Future Requirement Blevel S Median Initial Proficiency Level quirement Level Median Job Re-Difference Knowledges and Skills¹ Task Markers d17. police organization, administra-2.9 1.6 1.3 2 2.5 task 21 tion, and operations 18. police labor relations 2.0 task 45 1.2 .8 2 d19. planning and decision-making 3.0 1.6 1.4 2 task 42 d20. motivation, morale, and police. productivity 3.2 1.9 1.3 2.5 3.0 tasks 42, 45 1.0 2 d21. departmental goals and objectives 3.0 2.0 tasks 21, 42 d22. 3.2 1.1 2.5 written and oral communications 2.1 task 42 1.4 2 d23. 2.7 1.3 task 45 personnel administration d24. human relations/group processes 2.7 1.6 1.1|2 task 45 Police Operations Conduct of investigations: r,d25. 3.3 2.3 1.0 preliminary investigations c26. techniques for identification of 2.0 3.0 1.0 2 task 11 lost/stolen items interviewing and eliciting inford27. 1.3 3 3.4 2.1 tasks 1, 2, 8 mation d28. collecting, recording, analyzing information 3.3 2.1 1.2 3 tasks 3, 14 d29. 3.3 1.7 1.6 3.5 task 28 information sources and informants 2.9 1.5 2.9 task 7 1.4 d30. visual and audio surveillance 31. field testing for intoxication or .6 2 2.2 1.6 task 6 use of drugs 1.2 2.0 .8 . 32. operation of breathalyzer d33. investigation of specific crimes: e.g., arson, burglary, rape, job pervasive 3.4 1.7 1.7 3.4 homicide d34. preparation of clear, concise task 35 3.4 2.2 1.2 3 reports Traffic supervision and safety: 2.6 2.0 .6 r.c35. traffic control

Table VIII-III-32 (Continued)

Knowledge/Skill Profile of Detective Supervisor Occupation

					
Fiel	d Samj	ole	sult:	inte	
Median Job Re- quirement Level	Median Initial Proficiency Level	Difference	Consultant Adjusted Requirement Level	Future Requirement Level ²	Task Markers
2.6	2.2	•4			
2.5	2.1	.4	3		tasks 1, 2
2.5	1.8	.7	2.5		task 22
2.8	1.5	1.3	4		task 22
2.9	1.3	1.6	2.9		task 40
2.0	1.8	•2			
2.5	2.1	•4	2		task 4
2.5	2.0	•5	2.5		task 4
					•
3.1	1.8	1.3	3		task 48
2.6	1.5	1.1	2.5		task 48
3.4	2.4	1.0	3		task 19
2.8	2.2	.6	2.8		task 15
3.5	2.5	1.0	3		tasks 18, 19
3.2	2.5	.7	3		task 18
2.7	2.2	.5	3		tasks 16, 18
2.7	2.3	.4	3		tasks 16, 18
3.2	2.3	.9	3		task 18
2.3	1.2	1.1	2.3	2.5	added task 50
2.0	1.0	1.0	2	2.5	task 38
	2.5 2.5 2.5 2.5 2.5 2.5 2.5 3.1 2.6 3.4 2.8 3.5 3.2 2.7	Level Leve	Tend Tend	Recta sample Sulta	1

Table VIII-III-32 (Continued)
Knowledge/Skill Profile of Detective Supervisor Occupation

		Fiel	d Sampl		.Con- sultants	
K 1	nowledges and Skills ¹	Median Job Re- quirement Level	Median Initial Proficiency Level	Difference	Consultant Adjusted Reguirement Level Future Reguirement Level2	Task Markers
d55.	use of agency files	2.9	1.8 1.	Ī	2.	tasks 10, 14, added task 50
d56.	police-community files	2.7	1.9 .	.8	2.5	task 47
d57.	police-media relations	2.7	1.5 1.	.2	2.5	task 32
d58.	release of information	3.0	1.5 1.	.5	2	task 32
d59.	issues requiring legal interpreta- tion	3.0	1.6 1.	.4	3	tasks 17, 19
E. Aux	ciliary and Technical Services	-,				•
60.	departmental communications	2.5	2.0	.5	2	task 4, added task 55
d61.	criminalistics/forensic science	3.0	1.4 1.	.6	3	rejected task 26, adde
c62.	protection/analysis of crime scene	3.6	2.1 1.	.5	3	task 6, rej. tasks 24, 26, added task 5
63.	police photography	2.3	1.2 1.	.1	2.3	rejected task 23
64.	finger prints - collection, prep- aration, classification, use	2.4	1.4 1.	.0		
c65.	capabilities of crime laboratory	3.1	1.8 1.	.3	2.5	rejected task 26
d66.	availability, use, maintenance of police supplies and equipment.	3.0	2.0 1.	.0	2.5	task 42, added task 54

FJA Matrix

no

Decision Based

	Deemphasize or Reject Knowledge Item	Emphasize Knowledge Item	
Deemphasize or	13, 18, 31, 32, 37, 38, 41, 42, 53, 60, 63	26, 35, 36, 39, 44, 45, 49, 52, 62, 65	. -
Reject Knowledge Item	f = 11 agreements	f = 10 disagreements	21
	а	С	
	1, 14, 15, 43, 54, 64	2, 3, 4, 5, 6, 7, 8, 9, 10, 11, 12,	
Emphasize Knowledge Item		16, 17, 19, 20, 21, 22, 23, 24, 25, 27, 28, 29, 30, 33, 34, 40, 46, 47,	
		48, 50, 51, 55, 56, 57, 58, 59, 61, 66	45
•	f = 6 disagreements	f = 39 agreements	
	17	49	66

Figure 4. Four-quadrant matrix showing agreement (76%) and disagreement (24%) between two independently conducted job analyses procedures on the knowledge and skill requirements of the detective supervisor occupation.

supervisor occupation—40 requirements). The consultants made what they judged to be more realistic adjustments in some of the requirement levels and these adjustments are shown in Table VIII—III—32. The average requirement level for the emphasized knowledges and skills is the same as for the patrol supervisor occupation.

Table VIII-III-32 also identifies the task markers for the knowlege and skill which were not rejected by the consultants. Two of the requirements are job pervasive (items 1 and 33), while the majority of them have one or more clearly identifiable task markers. The average number of task markers per knowledge/skill requirement (1.4) is identical to that for the detective occupation and lower than that of the patrol supervisor occupation (1.7). Thus, while there are more emphasized knowledge/skill requirements for the detective supervisor than for the patrol supervisor with an identical number of tasks, the applicability of any given knowledge or skill for detective supervisor is narrower or more specialized.

- c. <u>Training and Education Implications</u>. The rank ordering of the five subject areas for the detective supervisor occupation in terms of the percentage of their knowledge/skill requirements to be emphasized is shown below followed by the percentages and average requirement levels:
 - B. Organization and Management (89%; 2.9)
 - A. Police Responsibilities and Environmental Relationships (73%; 2.9)
 - D. Staff Services (71%; 2.6)
 - C. Police Operations (64%; 2.9)
 - E. Auxilliary and Technical Services (57%; 2.8)

The most prominent knowledge and skill deficiencies which characterize detective supervisors are listed in Table VI/I-III-33. Unlike the patrol supervisor

Table VIII-III-33

The Most Prominent Knowledge and Skill Deficiencies
Typically Characteristic of Detective Supervisors

Item Number	Knowledge or Skill	Deficiency Value ²
d9.	preparation and execution/issuance/processing of a warrant or subpoena	1.8
d33.	investigation of specific crimes: e.g., arson, burglary, rape, homicide	1.7
d16.	leadership and supervision	1.6
d29.	information sources and informants	1.6
d40.	crime strike/task forces	1.6
d61.	criminalistics/forensic science	1.6
d30.	visual and audio surveillance	1.5
d58.	release of information	1.5
c62.	protection/analysis of crime scene	1.5

¹ The codes c and d represent quad c and d items

² The deficiency value is the difference measure drawn from Table 32.

deficiencies which are divided among those pertaining to supervisory knowledges and skills on the one hand and operational knowledge and skills on the other hand, only one of the detective supervisor deficiencies pertains directly to supervisory requirements. The more prominent deficiencies are in specialized investigative knowledges and skills.

Task oriented training and education data for the detective supervisor occupation is summarized in Table VIII-III-34. The data are fragmentary (for some tasks, reviewers were not available) and mostly based on very small numbers of subject matter reviewers (usually job experts or incumbents), so the following observations should be treated with circumspect.

- All of the 34 tasks listed have one or more knowledge/skill requirements. The average number of requirements per task is two.
- The tasks range in judged level of difficulty from slightly difficult to very difficult, with an average level of 3.0 (moderately difficult). The five tasks (tasks 1, 2, 5, 8, and 24) judged very difficult deal primarily with investigative or search procedures with the exception of the one supervisory task.
- Informal on the job experience was judged to be the most valuable of the actual sources for learning all of the tasks.
- The percentage of detective supervisors who felt they received too little training ranged from eight percent to 44%.
- The majority of detective supervisors judged special training to be one of the best ways to learn most of the tasks.
- There is no task in which a majority of the detective supervisors judged a college education or college courses to be essential or highly desirable. A review of the GED ratings, however, suggest the desirability of college course(s) for two tasks (tasks 21 and 42).
- d. <u>Future Outlook for Detective Supervisor Occupation</u>. The conclusion of the final occupational analysis conference was that no changes in the task profile of the detective supervisor occupation can realistically be expected to occur

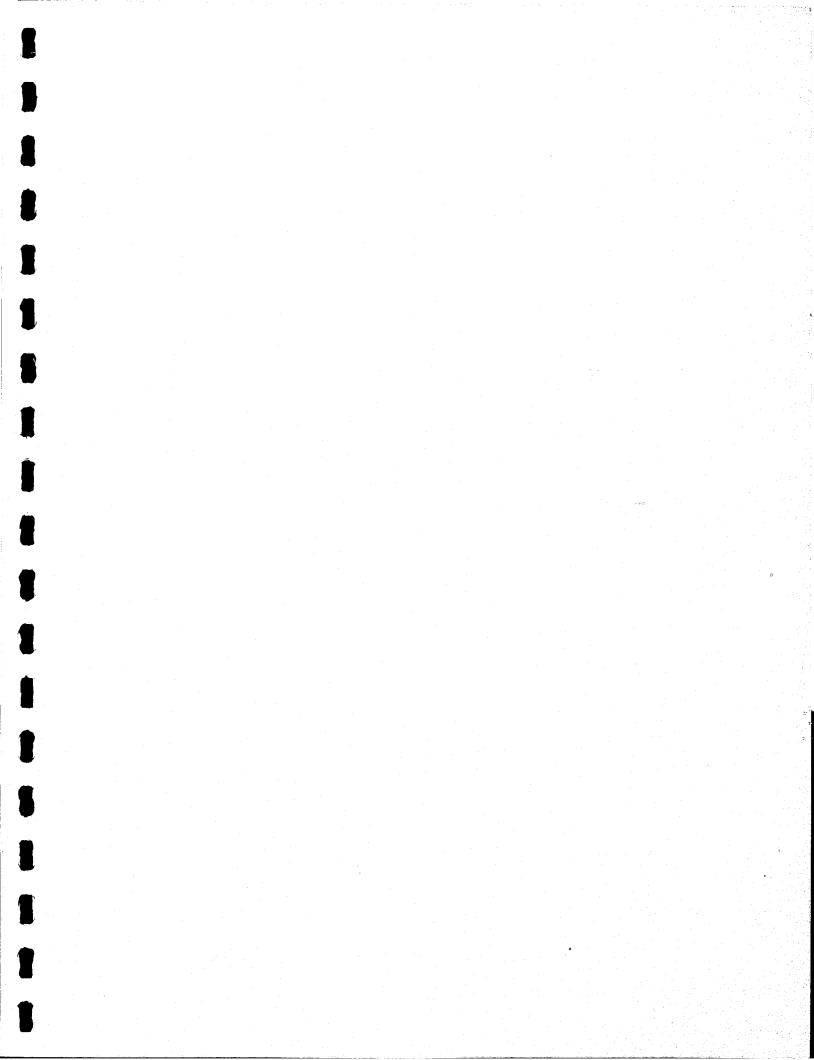


Table VIII-III- 34
Training and Education Data on Detective Supervisor Tasks with Emphasized Knowledge/Skill Requirements

	Knowledge/Skill Requirement Numbers ^a (Difficiency Values) ^b	Deficiency . Level	t Valuable Where Task ly Learned ^d	Training Sufficiency ^e % Too	Frequency Each Way Judged Best Way to Learn Task							
Task . No•		Task D	Most V Source Wh Actually	Little (N=34)	Academic Education	Special Training	Experienced Coworkers	On-the-job Training by Supervisor	Other	None Needed	College Course(s) Essential? # Yes	(N) ^f
1	27 37 (1.3) (.4)	4	job exper.	21%	0	0	1	0	0	0	0	(1)
2	27 37 (1.3) (.4)	4	job exper.	24%	0	. 0	1	0	0	0	0	(1)
3	28 (1.2)	3	job exper.	16%	2	3	2	0	0	0	2	(6)
5	$(\frac{4}{1.3})$	4	job exper.	17%	0	0	1	0	0	0	0	(1)
6	31 <u>62</u> (.6) (1.5)		job exper.	11%	See '	Cable VIII-	-III-XIII					
7	30 (1.5)		job exper.	.27%	Se e	Table VIII-	-111-X111					
8	$\frac{27}{(1.3)}$	4	job exper.	33%	0	0	1	0	0	0	0	(1)
9	(1.1)	3	job exper.	32%	1	1	2	. 1	1	0	0	(3)
10	55 (1.1)	2	job exper.	21%	1	1	0	0	0	0	0	(1)
11	<u>26</u> (1.0)		job exper.	23%	See	Table VIII	-111-X111					
12	$\frac{6}{(1.1)}$ $\frac{7}{(1.0)}$		job exper.	22%	See	Table VIII-	-III-XIII					
14	28 <u>55</u> (1.2) (1.1)	2	job exper.	29%	1	1	0	0	1	0	1	(2)
15	(. 47	3	job exper	13%	0	1	1	0	0	0	0	(1)
16	$\begin{array}{c ccccccccccccccccccccccccccccccccccc$	3	job exper	8%	0	2	0	0	0	0	0	(2)
17	$\frac{4}{(1.3)}$ $\frac{8}{(1.1)}$ $\frac{59}{(1.4)}$	3	job exper	4%	0	1	0	0	0	0	0	(1)
18	$ \begin{array}{c ccccccccccccccccccccccccccccccccccc$	3	job exper	22%	0	2	0	0	0	0	0	(2)

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								<u> </u>				
	Knowledge/Skill Requirement Numbers ^a (Difficiency Values) ^b	Deficiency Level ^c	lluable re Task earnedd	Training Sufficiency ^e	Frequ	ency Each	Way Judged Be	est Way to Le	earn Tas	:k		
Tas . No	1	Task De	Most Valuable Source Where Task Actually Learned	Z Too Little (N=34)	Academic Education	Special Training	Experienced Coworkers	On-the-job Training by Supervisor	Other	None Needed	College Course(s) Essential? # Yes	(N)f
19	$\frac{3}{(1.8)}$ $\frac{5}{(1.3)}$ $\frac{46}{(1.0)}$ $\frac{48}{(1.0)}$ $\frac{59}{(1.4)}$		job exper.	13%	See Table VIII-III-XIII							
20	<u>7</u> (1.0)		job exper.	12%	See Ta	ble VIII-I	II-XIII					
21	$\begin{array}{c ccccccccccccccccccccccccccccccccccc$	3	job exper.	44%	0	1	0	0	0	0	0	(1)
22	38 <u>39</u> (.7) (1.3)	2 .	job exper.	29%	0	1	1	0	0	0	0	(2)
28	(1.6)		job exper.	39%	See Table VIII-III-XIII							
32	57 (1.2) (1.5)	3	job exper.	32%	1	0	0	0	0	0	0	(1)
34	<u>9</u> (1.8)		job exper.	25%	See Table VIII-III-XIII					·		
35	(1.2)	3	job exper.	16%	0	3	0	0	0	0	1	(3)
40	(1.6)	2	job exper.	33%	0	0	1	0	0	0	0	(1)
42	$\begin{array}{c ccccccccccccccccccccccccccccccccccc$	4	job exper.	16%	0	0	1	2	1	0	2	(4)
43	$\frac{10}{(1.1)}$	2	job exper.	24%	0	2	0	O	0	C	1	(2)
45	$\begin{array}{c ccccccccccccccccccccccccccccccccccc$		job exper.	29%	See Table VIII-III-XIII							
47	<u>56</u> (.8)		job exper.	40%	See Table VIII-III-XIII							
49	<u>11</u> (1.2)	3	job exper.	23%	1	1	0	1	0	0	.0	(1)
50	53 <u>55</u> (1.1) (1.1)			·							.	
51	61 62 (1.6) (1.5)										· ·	

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Table VIII-III-34 (continued)

	nowledge/Skill Requirement Numbersa (Difficiency Values)b Training Sufficiency Sufficiency Training Sufficiency Tr						k					
Task . No.		Task	Most V Source Wh Actually	Little (N=34)	Academic Education	Special Training	Experienced Coworkers	On-the-job Training by Supervisor	Other	None Needed	College Course(s) Essential?	(n) f
52	$(\frac{2}{1.1})$							-				
54	66 (1.0)											
		x= 3.0		x= 23%	7 (19%)	20 , (54 %)	12 (32%)	4 (11%)	3 (8%)	0	7 (19%)	(37)

^aKnowledge/skill requirement numbers refer to those in Table 15. Underscored requirements are the emphasized ones. There are no training and education data for the tasks added by the consultants.

bDifficiency values are the difference measures drawn from Table 15.

CDifficulty scale: 1 - not at all difficult, 2 - slightly difficult, 3 - moderately difficult, 4 - very difficult, 5 - most difficult

dThere were three possible sources: job experience, formal training, college course

eThere were three possible categories: too little, about right, too much. A miniscule percentage checked the third category.

fN is the number of subject matter experts (authoritative job incumbents usually) who provided data on task difficulty, best way to learn, and essentiality of college courses. N is sometimes lower than the sum of the frequencies because some experts listed more than one best way.

during the next five years. Changes in emphasis, however, are expected in five knowledge/skill requirements:

- 16. Leadership and supervision A gradual movement of officers with education in police administration from patrol to detective supervision assignments is expected to occur.
- 17. Police organization, administration and operations An increased emphasis is expected here for the same reason given for the leadership and supervision requirement.
- 20. Motivation, morale and police productivity This is expected to become a core element of the future first-line supervisor's job.
- 53. Use of agency computer terminal This will increase because of expanded use of computers and computer terminals.
- 54. Data analysis, synthesis, interpretation There will be more emphasis placed on the analysis of criminal information as a means of detecting patterns of crime and modus operandi.

7. Occupational Analysis of Evidence Technician/Crime Scene Analyst

a. <u>Task Profile</u>. Task checklists were completed and returned by 32 evidence technicians/crime scene analysts (hereafter referred to in the text as evidence technicians). Their distribution by type of agency is shown in Table 18. The median age of these respondents was 33.5 years, and the median length of employment in their agencies was seven years. The median level of formal education attained by the respondents at the time of the study was about two years of college.

The task profile of the evidence technician occupation is shown in Table 35 and includes all but one (task 12) of the 19 tasks in the original checklist plus two tasks added during the final occupational analysis conference. The rejected task failed to meet the criterion for retention and dealt with disposal of evidence, a responsibility usually of the property room. Another task (task 9) failed to meet the criterion, but was returned to the final composite profile by the consultants. One of the tasks (task 20) added is the essence of the evidence technician's responsibility. was not an oversight in the construction of the initial checklist, but an attempt to differentiate the analytical and interpretative components of the work from the preliminary observing or visual "examining" implied in the first task in the checklist. The second task added (task 21) was added in recognition of the fact that while detectives are usually (50 percent or more of the time) in charge of crime scenes, if the evidence technician is the only agency representative at the scene at any given moment, he/she is in charge and has to explain, console, and in other ways relate to whomever else is present.

Ø.

Table VIII-III-35
Task Profile of Evidence Technician/Crime Scene Analyst

Task No. ^a	Task Description	% Who do Task	Median amount of time spent on Task ^b
1.	Examines crime scene and surrounding area prior to collection of evidence, discusses and clarified known facts of case with officer in charge, and		
	determines most effective search procedure and identification techniques.	96.9	2.6
2.	Searches for, locates, marks, collects, labels, packages, and handles physical evidence and latent fingerprints found at crime scenes.	100.0	2.8
3.	Makes castings of footprints, tire prints, tool marks, and other impressions found at crime scenes.	87.5	1.1
4.	Photographs crime scene prior to removal of evidence to provide permanent record.	93.8	2.5
5.	Photographs individuals and locations under police surveillance.	50.0	1.1
6.	Draws scale diagrams of crime scene.	81.3	1.6
7.	Completes crime scene search report for each crime scene analyzed.	87.1	2.4
8.	Inspects and checks availability and serviceability of regular and special police equipment required in the performance of assigned duties.	78.1	1.2
9.	Inventories and checks physical evidence, initiates chain of custody and maintains evidence/property receipt.	45.2	1.4
10.	Develops photographic films, makes prints, and enlarges photos.	50.0	2.0
11.	Compares fingerprint evidence from crime scene with department finger- print records of suspects and prior offenders.	62.5	2.6
13.	Operates mobile or portable radio equipment in order to maintain effective communications.	93.8	2.1
14.	Communicates orally or in writing with crime laboratory, investigative, prosecutorial, medical examiners, and other law enforcement personnel.	93.8	1.7
15.	Provides guidance to law enforcement personnel in various specialized evidence gathering techniques.	62.5	1.6
16.	Attends training in and studies methods, practices and procedures of crime scene analysis.	87.5	1.2
17.	Testifies at judicial proceedings as a witness.	78.1	1.8
18.	Completes daily activity summary in order to inform superior of daily work output and to maintain record for future reference.	75.0	1.6
19.	Reads records of crime activity such as station log, hotsheet and posted notice, and exchanges information with fellow officers.	71.9	1.5
(20.)			
(21.)	Deals with victims, media, and the general public in sensitive and unusual circumstances.		
aTas b1 =	numbers in parentheses denote tasks added by consultants during final occur A very small amount of time, 2 = a moderate amount of time, and 3 = a considerate amount of time.	erable amo	alysis conference unt of time.

There are seven tasks (tasks 1, 2, 4, 7, 10, 11, and 13) in each of which 50 percent or more of the evidence technicians in our sample typically spend a moderate amount or more of their time. The two added tasks should also be considered within this category of more prominent tasks, even though we have no empirical evidence for it. Two of the seven tasks (tasks 10 and 11) are relatively time consuming and when performed, the worker assumes the role of the identification officer, photo technician, or fingerprint technician.

b. Knowledge and Skill Requirements. The knowledge checklist was completed and returned by 32 evidence technicians. Their distribution by type of agency is shown in Table 18. Summary data on responses to the original checklist are shown in Table 36. During the final occupational analysis conference, the consultants made a sufficient number of both editorial and substantive changes in item content to warrant presenting a revised knowledge/skill profile for this occupation. The revised profile is shown in Table 37. It is the revised profile to which we shall be referring throughout the remainder of this section.

The revised profile contains 30 of the original 52 knowledge items, including a few additional ones. The revised items are treated here as the ones to be emphasized as knowledge; skill requirements with the relative degrees of emphasis being the adjusted requirement level values shown in Table 37. This table also identifies the task markers for the knowledge/skill requirements. Five of the requirements (items 2, 9, 12, 15, and 47) are job pervasive, while the majority have one or more clearly identifiable task markers. The average number of task markers per knowledge/skill requirement is 2.0. The tasks most often associated with a variety (4 or more) of knowledge/skill requirements are abbreviated below with the number

Table VIII-III-36

Summary Data on Original Evidence Technician/Crime Scene Analyst Knowledge Checklist $^{\mathbf{l}}$

					
			Median Job Require- ment Level	Median Initial Proficiency Level	Difference
	Police	Responsibilities and Environmental Relationships	26	2 14	
A.		urrent criminal activities/trends	2.0	1.5	•5
		olice history, role and function	1.7	1.3	• 4
		riminal justice system/agencies/relations	2.3	1.5	.8
		riminal/civil law definitions, phrases and procedures	2.5	1.7	.8
	5. c	onstitutional issues and trends, current/recent udicial decisions	2.2	1.3	.9
		aws of evidence; court preparation, presentation, dmissability	3.4	1.5	1.9
	7. 10	ocal jurisdiction, laws and ordinances	2.3	1.7	.6
		ourtroom procedures, demeanor and presentation of estimony	3.3	1.6	1.7
	9. p	olice authority, rights and civil liability	2.5	1.7	.8
	10. c	ontemporary social problems	1.8	1.6	.2
	11. r	elationships with other LE/CJ agencies	2.3	1.5	3.8
В.	Organ	ization and Management			
		epartmental goals, objectives, activities, programs, nd special projects	2.2	1.2	1.0
	13. w	ritten and oral communications	2.7	1.8	.9
	14. h	uman relations/group process	2.1	1.8	•3
c.	Polic	e Operations			
	15. p	atrol administration, policies, procedures, problems	2.1	1.6	•5
		onduct of preliminary investigations field testing or intoxication and use of drugs	2.1	.8	1.3
		olicies, procedures, techniques and problems in in- estigation of:		₹	
	17. a	rson	2.6	.9	1.7
	18. a	ssault	2.7	1.5	1.2
	19. a	uto theft	2.2	1.4	.8

¹See attachments to Appendix for definitions of job requirements and proficiency levels.

Table VIII-III-36 (Continued)

Summary Data on Original Evidence Technician/Crime Scene Analyst Knowledge Checklist

Median Joh Require-	evel	Median Initial Proficiency Level	Difference
20. burglary and robbery 3	3.2	1.6	1.6
21. explosives and clandestine devices 2	.6	1.0	1.6
22. fugitives and missing persons	8	1.0	.8
23. homicide 3	3.5	1.5	2.0
24. narcotics 2	2.3	1.2	1.1
25. organized white collar and corporate crime 2	2.0	.8	1.2
26. rape and sex offenses 3	3.0	1.4	1.6
27. other, please specify:	3.1	1.9	1.2
28. traffic control and supervision 1	3	1.3	0
29. traffic accident investigation 2	2.0	1.6	.4
30. organization and operation of crime strike/task forces 1	7	.3	1.4
31. operation of breathalyzer 2	8.9	• 5	2.3
32. collecting, synsethizing, and protecting recording information 2	2.9	1.0	1.9
33. conducting visual and audio surveillance 1	8.1	.6	1.2
34. operation of agency computer terminal and how to access agency files for specific information	L . 8	•4	1.4
35. report preparation and departmental forms. 2	2.9	1.7	1.2
36. how to write a clear, concise, complete report	3.1	1.8	1.3
D. Staff Services			
37. community relations	L . 8	1.6	•2
38. relations with ethnic minorities 1	L.9	1.8	.1
39. public education program	L.7	1.2	•5
40. police media relations/role of the press/release of information policies	2.2	1.0	1.2
41. departmental policies and procedures pertaining to the issues requiring formal legal interpretation	2.0	.9	1.1
42. evidence gathering training needs and requirements	3.4	1.1	2.3
43. teaching methods/techniques/training 2	2.8	.5	2.3

Table VIII-III-36 (Continued)

Summary Data on Original Evidence Technician/Crime Scene Analyst Knowledge Checklist

		Median Job Require- ment Level	Median Initial Proficiency Level	Difference
44.	use of training aids	2.6	.6	2.0
Anx	iliary and Technical Services			
45。	information available from and access to records processed and maintained by the department	2.6	1.2	1.4
46.	departmental communications capability, policies, use and procedures	2.3	1.2	1.1
47。	basic criminalistics/forensic science departmental physical evidence policies and procedures: identification, collection, preservation, chain of custody, analysis technical procedures, specific crime relationship, utility, limitations, disposal	3.7	1.2	2.5
48。	crime scene activities: analysis, protection preparation of scale diagrams, equipment/technicians/services utilized	3.7	1.2	2.5
49.	police photography	3.6	1.1	2.5
50.	fingerprints - collection, preservation, classification, identification of preparation and use in law enforcement	3.8	1.0	2.8
51.	the capabilities of the crime laboratory and the value of laboratory analysis in the resolution of criminal cases	3.4	1.0	2.4
52.	availability, use and maintenance of police supplies and equipment	2.6	1.3	1.3

Table VIII-III-37

Reviewed and Revised Knowledge Requirements for Evidence Technician/Crime Scene Analyst $^{\!1}$

			_
	1		
	ce Ad- equire el	ent	
	Conference justed Requ	Future Requirement Level	
Knowledge Item	Con jus	Fut Req Lev	Task Markers
A. Police Responsibilities and Environmental Relationships			
2. police history, role and function	1.7	1.7	job pervasive
6. laws of evidence	3.4	3.4	tasks 16, 17
 local jurisdiction, laws and ordinances, current judicial decisions 	2.3	3	task 16, part of 17
8. courtroom preparation, procedures, demeanor and presentation of testimony	3.3	3.3_	task 17
9. police authority, rights and civil liability	1	1	job pervasive
11. investigative and prosecutorial processes	3	3	task 14
B. Organization and Management			
12. departmental goals, objectives, and programs	1.5	1.5	job pervasive
13. written and oral communications	2.7	2.7	tasks 13, 14, 18
C. Police Operations		l.,	
15. patrol administration, policies, procedures, problems	2	2	job pervasive
17. arson and explosion scenes	2.6	3	tasks 1, 2, 3, 16,2
20. burglary, robbery and auto theft	3	3	tasks 1,2,3,16,20
23. homicide, sex offenses and assaults	3.5	3.5	tasks 1,2,3,16,20
24. narcotics and clandestine laboratories	2	1	tasks 1,2,3,16,20
29. traffic accident investigation including hit and run	2	2	tasks 1,2,3,16,20
33. surveillance operations	1.8	0	task 5
34. operation of agency computer terminal and how to access agency files for specific	1.0	1 0	
information 35. report preparation and departmental forms	1.8	1.8 2	task 13 task 7
33. report preparation and departmental forms			Lask /
D. Staff Services			
37. community relations	1.8	1.8	added task 21

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Table VIII-III-37 (Continued)

Reviewed and Revised Knowledge Requirements for Evidence Technician/Crime Scene Analyst

Knowledge Item	Conference Ad- justed Require- ment Level	Future Requirement Level	Task Markers
40. police media relations/role of the press/release of information policies	1.8	1.8	added task 21
46. departmental communications capability, policies, use and procedures	1	1	task 13
47 criminalistics/forensic sciences	4	4	job pervasive
48. crime scene reconstruction	3	3	tasks 1, 20
49b.criminal activity, including modus operandi (see Kl values)	3	3	tasks 1, 19, 20
50. evidence identification, collection, preservation, claim of custody	4	4	tasks 1, 2, 7, 20
51. photographic, casting, sketching, trace evidence, fingerprinting and other supportive equipment	4	4	tasks 2,3,4,5,6,8
52. fingerprint classification	3	0	task 11
53. crime lab policies, practices and procedures	3	3	task 14
54. forensic medicine procedures	3	3	task 14
55. handling hazardous materials	3	3	task 2
56. photographic processing	3	0	task 10

of knowledge/skill requirements in parentheses (the identity of the requirements can be ascertained from Table 36):

- 1. Examines crime scene (8)
- 2. Searches for and handles evidence (8)
- 20. Analyzes crime scene (8)
- 16. Attends training and studies methods (7)
 - 3. Makes castings (6)
- 14. Communicates with other LECJ personnel (4)
- Training and Education Implications. Training content should c. be reflective of the prominent tasks and knowledge/skill requirements of this occupation. The seven most prominent tasks have been identified above as well as the 30 knowledge/skill requirements to be emphasized. Some of these tasks and knowledges and skills are learned to a sufficient degree before individuals become evidence technicians. With regard to any knowledge/skill deficiencies which might characterize the training or learning needs of newly appointed evidence technicians, those requirements with deficiency values of 1.5 or greater appear in Table 38. There are 17 such knowledge/ skill deficiency areas, although seven of them were rejected (or reorganized) by the consultants. The most conspicuously deficient areas all involve specialized evidence technician requirements. Tasks associated with these particular knowledge/skill deficiencies include crime scene examining and analyzing, photographic processing, fingerprint classifying, and exchanging information with other LE/CJ personnel.

Task-oriented training and education data are fragmentary and limited for this occupation. There were very few evidence technicians available to judge the one best way to learn each task, its difficulty level, or

Table VIII-III-38

The Most Prominent Knowledge and Skill

Deficiencies Typically Characteristic of Newly Appointed Evidence Technicians

·Item Number ¹	Knowledge or Skill	Deficiency Value ²
50.	fingerprints - collection, preservation, classifi- cation, identification of preparation and use in law enforcement	2.8
47.	basic criminalistics/forensic science departmental physical evidence policies and procedures: identification, collection, preservation, chain of custody, analysis technical procedures, specific crime relationship, utility, limitations, disposal	2.5
48.	crime scene activities: analysis, protection prep- aration of scale diagrams, equipment/technicians/ services utilized	2.5
49.	police photography	2.5
51.	the capabilities of the crime laboratory and the value of laboratory analysis in the resolution of	
	criminal cases	2.4
r17.	arson	2.3
r42.	evidence gathering training needs and requirements	2.3
r43.	reaching methods/techniques/training	2.3
23.	homicide	2.0
r44.	use of training aids	2.0
6.	laws of evidence; court preparation, presentation, admissability	1.9
r18.	assault	1.9
8.	courtroom procedures, demeanor and presentation of testimony	1.7
17.	arson	1.7
20.	burglary and robbery	1.6
r21.	explosives and clandestine devices	1.6
r26.	rape and sex offenses	1.6

¹Code letter r denotes knowledge/skill items rejected by the consultants during the final occupational analysis conference,

 $^{^{2}}$ The deficiency value is the difference measure drawn from Table 24

whether college courses are essential or highly desirable. A few tentative observations and conclusions can be offered nevertheless from a review of the data available:

- The percentage of evidence technicians who felt they received too little task-oriented training ranged from zero percent to 60 percent, with the average being 34 percent. For three tasks (tasks 5, 16, and 17), a majority of the respondents indicated too little training was received.
- Informal job experience was judged the most valuable of the sources from which evidence technicians actually learned to perform each task.
- Evidence technician tasks on the average appear to be of moderate difficulty.
- Special training was judged most often to be the one best way to learn the tasks of the evidence technician occupation.
- Only one task (task 10) was judged by two out of three evidence technician reviewers to be one in which a college course is essential or highly desirable. The GED ratings for this task (and for the others), however, are relatively low and not suggestive of a high level of educational development (but it is recognized here that there are law enforcement personnel who believe full-time evidence technicians should have two or four years of college, and that some authorities believe a four-year basic chemistry science curriculum is preferable to a criminal justice program with criminalistics as a specialty.)

d. Future Outlook for Evidence Technician Occupation

During the next five years, it is realistic to expect that three tasks will drop out of the evidence technician task profile: task 5 will drop

out because it requires specialized clandestine operations and will thus be done by another specialist in the intelligence field; task 10 will drop out because it is not cost effective for evidence technicians to do this work; and task 11 will drop out because it already is a peripheral task (although very time consuming when performed) and will eventually be performed by other specialists.

Changes are also expected to occur during the next five years in certain knowledge/skill requirements:

- 7. Local jurisdiction, laws and ordinances, current judicial decisions—this is expected to increase because of more complex search/seizure laws.
- 17. Arson and explosion scenes—this will increase because of continuing occurrences of such scenes and the increasing sophistication of such acts.
- 24. Narcotics and clandestine laboratories—this will decrease in emphasis with likely decline in narcotics use and further decriminalization.
- 33. Surveillance operations—this will drop out because task 5 drops out.
- 52. Fingerprint classification—this is expected to drop out since task ll is expected to drop out.
- 56. Photographic processing—this is expected to drop out since task 10 is expected to drop out.

8. Occupational Analysis of Police Planner

a. <u>Police Planner Task Profile</u>. Task checklists were completed and returned by 48 police planners. Their distribution by type of agency is shown in Table 18. The median age of these respondents was 34 years, and the median length of employment in their agencies was seven years. The median level of formal education attained by the respondents at the time of the study was about four years of college.

The task profile of the police planner occupation appears in Table 39 and includes 14 of the 18 tasks in the original checklist plus five tasks added during the final occupational analysis conference. The rejected tasks failed to meet the criterion for retention and involved budgetary staff services, press relations, and instructing. Six of the original tasks (Tasks 1, 2, 6, 7, 17, and 18) require a moderate or more amount of time by anywhere from 62 percent to 97 percent of the police planners in our sample.

Police planning units today have been characterized as "fix-it" shops rather than as bona fide planning and research units. Planning is of a short term basis generally, usually fiscal, and research work—when it is done in-house—is said to be rather rudimentary. The tasks profile tends to support this portrayal. Abona fide planning task (Task 10) in the profile does not require very much time of the planners in our sample relative to some other tasks and is performed by only slightly over three-fourths of the planners. Only slightly over one-half of the planners analyze crime and workload statistics, and involvement in the budgetary process was minimal enough to be rejected from the final composite profile. This last fact is rather

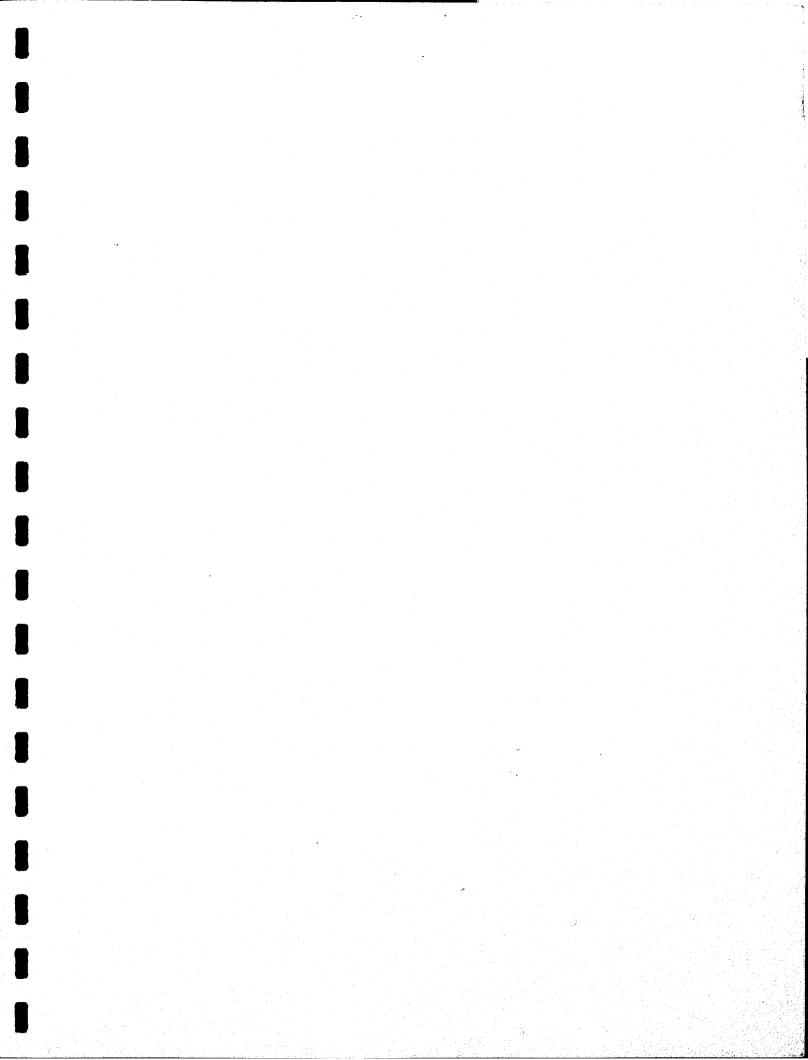


Table VIII-III-39
Task Profile of Police Planner Occupation

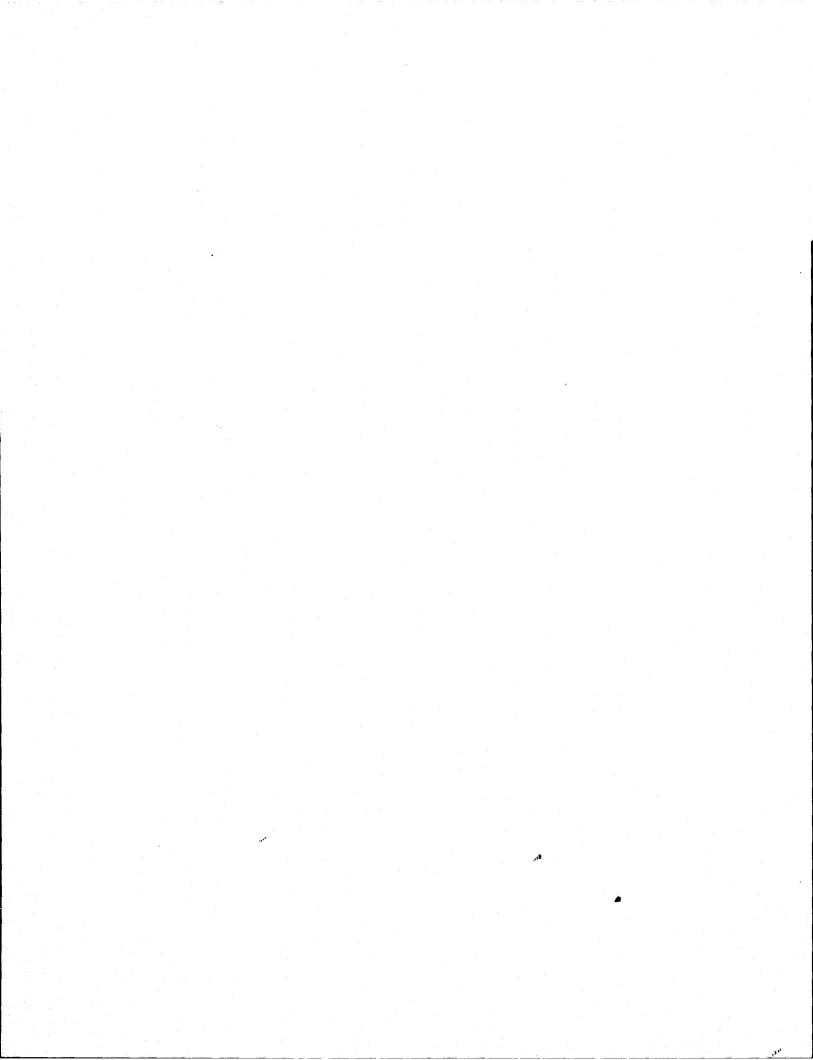
Task No.a	Task Description	% Who do Task	Median amount of time spent on Task ^b
1.	Coordinates (and/or participates in the) [activities related to]preparation of applications for federal or other grants. [by elements of department, initiating submission of applications, reviewing and editing applications, and providing research and planning support necessary to		
	identify and isolate problem areas and propose possible solutions for	60 5	2.1
2.	inclusion in grant applications.] (Analyzes) [Observes] operations and studies (inspection and other) reports	62.5	2.1
۷.	of departmental elements in order to identify and solve operational (and administrative) problems.	91.7	2.0
3.	(Reviews summary) [Reads] offense or accident reports and [daily] activity reports of officers, analyzes, interprets [and summarizes] report data,		
*	and compiles periodic crime trend and activity recap reports for submission to management (and operations).		
4.	Gathers, compiles and analyzes departmental crime and workload statistics.	56.5	1.8
5.	Reviews, edits, and approves correspondence, studies, and reports destined for another office or agency.	64.6	1.5
6.	Prepares written directives (such as general and special orders), standard operating procedures, and policy statements.	81.3	2.0
7.	Confers with departmental chief executive and/or command staff to report progress on programs and projects, and to receive guidance.	97.9	2.0
10.	Conceives, plans and recommends [innovative] methods for preventing/coping with major crimes or other service delivery problems.	81.3	1.8
11.	Makes oral presentations to local governing body, its components, and/or other outside councils, or boards.	52.1	1.1
12.	Communicates orally or in writing with personnel of other law enforcement/criminal justice agencies.	97.9	1.7
14.	Attends and participates in professional meetings, conferences, seminars, and public gatherings.	91.7	1.4
15.	Represents agency on special task forces or commissions.	56.3	1.2
17.	Advises and makes recommendations to chief executive or immediate superior regarding agency goals, objectives, policies, and procedures.	93.8	2.0
18.	[Compiles and prepares required administrative reports.] (Conducts special studies and reports findings orally and in written form.)	93.8	2.2

Table VIII-III-39 (Continued) Task Profile of Police Planner Occupation

Task No. ^a	Task Description	% Who do Task	Median amount of time spent on Task ^b
(19.)	Analyzes equipment, develops performance and cost specifications, and makes recommendations.		
(20.)	Designs departmental and crime report forms and provides for form control.		
(21.)	Studies information needs and data requirements for computerized operations.		
(22.)	Conducts literature searches and develops bibliographies and other reference materials.		4
(23.)	Interviews departmental and other personnel in order to gather information and/or explain programs and plans.		

 $^{^{\}mathrm{a}}$ Task numbers in parentheses denote tasks added by consultants during final occupational analysis conference.

 b_1 = a very small amount of time, 2 = a moderate amount of time, and 3 = a considerable amount of time.



CONTINUED

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surprising, since one would think that budgetary formulating and planning are integral and interdependent elements of police administration and management.

b. Police Planner Knowledge and Skill Requirements. The knowledge checklist was completed and returned by 47 police planners. Their distribution by type of agency is shown in Table 18. The checklist contained 55 items, and summary data on them are presented in Table 40. The four-quadrant matrix which appears in Figure 5 shows the items which the two job analysis procedures agree or disagree should be emphasized or deemphasized. The consultants, during the final occupational analysis conference, agreed fairly well with the results of this quadrant analysis. Only five items (items 16, 17, 23, 28, and 48) which one or both procedures suggested emphasizing were later rejected by the consultants. Three items (items 4, 44, and 45) which both procedures suggested deemphasizing or rejecting were retained (but not emphasized) by the consultants. The net result of this job analysis-consultant resolution was that 26 of the original 55 items are considered as knowledge/skill requirements to be emphasized, albeit to varying degrees.

Table 40 also shows the task markers for the knowledge/skill requirements. Five of the requirements are job pervasive, while the majority have one or more clearly identifiable task markers. The average number of task markers per requirement is 2.2 markers. The tasks most often associated with a variety (4 or more) of knowledge/skill requirements are abbreviated below with the number of knowledge/skill requirements in parentheses (the identity of the requirements can be determined from Table 40):

Table VIII-III-40
Knowledge/Skill Profile of Police Planner Occupation

	Fiel	d Sam	ple	· Con	i	
Knowledges and Skills 1 , 2	Median Job Re- quirement Level	Median Initial Proficiency Level	Difference	justed Level		Task Markers
Police Responsibilities and Environ- mental Relationships						•
cl. crime reporting systems	2.7	1.4	1.3	2.5	3	tasks 3, 4, 10
d2. current criminal activities/ trends/social problems	2.8	1.7	1.1	2.8	3	task 10
d3. police authority/responsibility [rights/ethics/civil liability]	2.8	1.9	.9	2	2	task 6
4. police role and function in a democratic society	2.1	1.6	.5	2	3	job pervasive
d5. criminal justice system/agencies/relations	2.9	1.8	1.1	2	2	task 12
c6a. criminal law definitions	2.6	1.8	.8	2	2	tasks 2, 6
c6b. civil law definitions	2.6	1.8	.8	1	1	tasks 2, 6
r7. constitutional issues and trends, current/recent judicial decisions	2.4	1.6	.8			•
c8. local jurisdiction ordinances	2.6	1.8	.8	2	2	tasks 3, 4, 6, 10, 11, 14, 15, 18, 23
<pre>r9. preparation, execution, issuance, processing of a warrant or sub- poena</pre>	2.0	1.2	.8			
rl0. police authority, rights and civil liability (see K3, K6b)	2.4	1.9	.5			
rll. police pressure groups, radical groups, dissidents, non-conformist cultures	2.0	1.5	•5			•
rl2. contemporary social problems (see K1)	2.4	1.9	.5			
dl3. community needs and resources	2.8	1.6	1.2	2	3	task 10

c and d = quad c and d knowledge/skill requirements respectively; e = requirements added by consultants, r = requirements rejected by consultants. See attachments to Appendix for definitions of job requirement and proficiency levels.

²Bracketed elements were deleted by consultants.

 $^{^{3}\}text{Blank}$ cells signify no future changes expected.

Table VIII-III-40 (Continued) Knowledge/Skill Profile of Police Planner Occupation

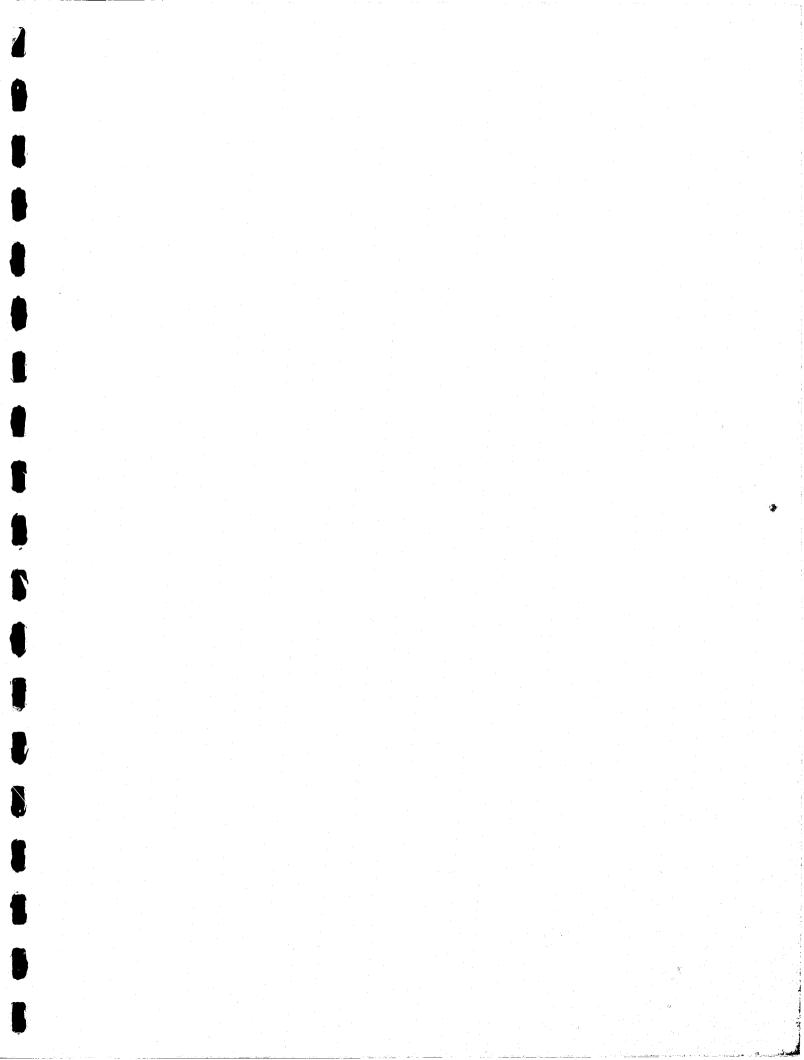
	Fiel	d Samp	ole	Cor sulta		
Knowledges and Skills 1 , 2	Median Job Re- quirement Level	Median Initial Proficiency Level	Difference	Consultant Adjusted Requirement Level	Future Requirement Elevel3	Task Markers
3. Organization and Management						
dl4. principles of police organization, administration, and operations	3.2	1.8	1.4	3	3	job pervasive
dl5. resource allocation and utiliza- tion	3.2	1.4	1.8	2.5	3	task 4
r,dl6. fiscal management, budgets, fund- ing priorities, evaluation and control	2.4	1.3	1.6			
,dl7. planning and decision making (see K37)	3.3	1.8	1.5			
c18. data processing and application of computer science to agency opera- tions	2.7	1.1	1.6	2.5	3	task 21
c19. issues in police productivity	2.9	1.6	1.3	2	3	tasks 2, 3, 10
d20. departmental goals, objectives, and priorities	3.4	1.7	1.7	2.5	3 .	task 17
d21. departmental structure, operations, policies, and procedures	3.4	2.0	1.4	3.4	3.4	tasks 2, 6, 7, 17, 18
d22. written and oral communications	3.2	2.2	1.0	3.2	3.2	job pervasive
r,d23. personnel administration: man- power needs, qualification re- quirements, position classifica- tion, career development	2.9	1.6	1.3			
r24. performance evaluation, civil service rules and regulations	2.5	1.4	1.1			
d25. [human relations] group process	2.6	1.8	.8	2.6	3	added task 23
r26. use of volunteers and/or para- professionals	2.1	1.1	1.0			
C. Police Operations						
c27. patrol, criminal investigation, traffic control administration, policies, procedures, techniques, problems		1.9	1.2		2	task 2

Table VIII-III-40 (Continued)

	Knowledge/Skill Profile of Po	lice F	lanne	r 0c			
		Fiel	d Sam	ple	Con		
K	nowledges and Skills $^{f 1},\ ^2$	Median Job Re- quirement Level	Median Initial Proficiency Level		Consultant Adjusted Requirement Level	Future Requirement 5	Task Markers
r,d28.	criminal investigation policies, procedures, techniques and prob- lems (see 27)	2.6	1.9	.7		-	
r29.	traffic administration, control, safety, engineering	2.2	1.5	.7			•
r30.	police tactical operations	2.5	1.7	.8			
r31.	organization and operation of crime strike/task forces	2.3	1.5	.8			
d32.	criminal behavior/crime patterns/ potential criminal targets	2.8	1.7	1.1	2.8	2.8	tasks 3, 10
r33.	juvenile offenders, juvenile jus- tice system and juvenile laws	2.2	1.7	.5			
d34.	collecting, synsethizing, protecting recording data and information	3.0	1.8	1.2	3	2.5	job pervasive
r35.	operation of agency computer ter- minal and how to access agency files for specific information	2.4	1.0	1.4			
d36.	departmental policies and pro- cedures pertaining to report preparation and departmental			1 2		0.0	11-1
	forms ff Services	3.1	1.9	1.2	2.9	2.9	added task 20
	principles, practices and pro- cedures for long- and short-range planning	3.4	1.7	1.7	3	3	job pervasive
d38.			1.7		2.5	3	tasks 2, 4, 10, 18, 19, 21, 22, 23
d39.	elementary statistics and data: [compilation,]analysis, [synthesis and interpretation]	3.0	1.7	1.3	2	3	tasks 3, 4
d40.	crime analysis	3.0	1.6	1.4	2.5	3	tasks 3,4,
d41.	how to prepare requests for out- side funding, e.g., federal or non-public grants	3.0	1.0	2.0	2.5	3	task 1

Table VIII-III-40 (Continued) Knowledge/Skill Profile of Police Planner Occupation

•		Fiel	d Sam	ple	. Cor		10
Kno	owledges and Skills ¹ , 2	Median Job Re- quirement Level	Median Initial Proficiency Level	Difference	Consultant Adjusted Requirement Level	Future Requirement Level3	Task Markers
r42.	public community relations	2.3	1.9	•4			•
r43.	relations with ethnic minorities	2.2	2.0	.2			
44.	public education programs	2.1	1.8	• 3	1	1	tasks 10, 14
45.	police media relations/role of the press/release of information policies	2.2	1.8	.4	1	2.5	task 13
r46.	issues requiring formal legal interpretation	2.1	1.4	.7			
r47.	legal advice and services by agency counsel	1.9	1.2	• 7			
r,c48.	training needs, policies, and requirements	2.7	1.4	1.3			
r49.	teaching methods/techniques/ training resources used in instruction of police personnel	2.4	1.3	1.1			
r50.	topical research and preparation of lesson plans	2.4	1.6	.8			
r51.	use of training aids	2.2	1.4	.8			
r52.	minimum state standards for police training	2.2	1.5	.7			
E. Auxi	liary and Technical Services						
d53.	[records processed and maintained by the]department criminal and administrative records	2.8	1.4	1.4	2.8	2.8	tasks 2, 3, 4
d54.	departmental [communications capability, policies, use and procedures] technical and support services	2.8		1.2		2.5	• ;
r55.	procurement and maintenance of police supplies and equipment	2.3	1.6	.7			



Police Planner

Decision Based on the Knowledge Checklist Data

Deemphasize or Reject

Emphasize

	Knowledge Item	Knowledge Item	
	7, 9, 10, 11, 12, 24, 26, 29, 30,	1, 6, 8, 18, 19, 27, 48	
Deemphasize	31, 33, 42, 43, 44, 45, 46, 47,		
or Reject	49, 50, 51, 52, 55		
Knowledge Item	f = 22 agreements	f = 7 disagreements	29
	' a	c	
	4, 35	2, 3, 5, 13, 14, 15, 16, 17, 20,	
		21, 22, 23, 25, 28, 32, 34, 36,	
Emphasize Knowledge Item	1	37, 38, 39, 40, 41, 53, 54	26
I C E M	f = 2 disagreements	f = 24 agreements	
	<u>,</u> b	d	
	24	31	55

Figure 5. Four-quadrant matrix showing agreement (84%) and disagreement (16%) between two independently conducted job analysis procedures on the knowledge/skill requirements of the police planner occupation.

- 10. Conceives, plans, and recommends police methods (8)
 - 3. Reviews summary reports (7)
- 4. Analyzes crime and workload statistics (7)
- 2. Analyzes and solves operational problems (6)
- 6. Prepares written directives (5)
- c. <u>Training and Education Implications</u>. We have already identified the more prominent tasks (insofar as time consumed is concerned) and the knowledges and skills required of the police planner. Some of these tasks and requirements are learned sufficiently before individuals become police planners. With regard to any knowledge and skill deficiencies which might characterize the training or learning needs of newly appointed police planners, those requirements with the most prominent deficiency values (≥ 1.5) are presented in Table 41. There are eight such prominent deficiency areas, although two of them (items 16 and 17) had been rejected as requirements by the consultants. The tasks associated with these deficiency areas can be identified from Table 40.

Task oriented training and education data are fragmentary and limited for this occupation. There were very few police planners available to judge the one best way to learn each task, its difficulty level, or whether college courses are essential or highly desirable. A few tentative observations can be offered nevertheless from a review of the data available:

- The percentage of police planners who felt they received too little task oriented training ranged from 18 percent to 58 percent for the tasks in the final, composite profile. For two of these tasks (Tasks 1 and 10), the majority of police

Table VIII-III-41

The Most Prominent Knowledge and Skill

Deficiencies Typically Characteristic of Newly Appointed Police Planners

Item Number ¹	Knowledge or Skill	Deficiency Value ²
d41.	how to prepare requests for outside funding, e.g., federal or non-public grants	2.0
d15.	resource allocation and utilization	1.8
d20.	departmental goals, objectives and priorities	1.7
d37.	principles, practices and procedures for long- and short-range planning	1.7
r,d16.	fiscal management, budgets, funding priorities, evaluation and control	1.6
c18.	<pre>data processing and application of computer science to agency operations</pre>	1.6
d38.	research, evaluation and systems analysis method- ologies	1.6
r,d17.	planning and decision making	1.5

¹Code letters d and r denote quad d and consultant rejected requirements, respectively

 $^{^{2}}_{\mbox{The deficiency value is the difference measure drawn from Table 40.}$

planners felt they were insufficiently trained. Three of the rejected tasks which dealt with budgetary and instruction activities were judged by almost three-fourths of the planners to have been given insufficient attention. This raises the question of whether some tasks may not be performed as prevalently as one would expect because personnel in the occupation are ill prepared to perform those tasks.

- Informal job experience was judged the most valuable of the sources from which police planners actually learned to perform each task.
- Police planner tasks generally appear to be of moderate difficulty.
- Special training and experienced co-workers were judged best and next best respectively as the way to learn police planner tasks.
- Four of the tasks (Tasks 3, 10, 15, and 17) were judged by a majority (two out of three) police planners to be tasks in which a college course is essential or highly desirable. A review of the GED ratings for these tasks and the others in the profile reveals that two of the former (Tasks 10 and 17) and five others (Tasks 1, 4, 6, 8, and 11) require a relatively high enough developmental level to suggest the desirability at least of college courses.

d. Future Outlook for Police Planner Occupation. During the next five years there is likely to be a deemphasis of the police officer's role in police operations because the occupation will be represented more by civilians than officers. There is likely to be a sharper role definition. Any peripheral tasks today will eventually drop out. Although no tasks were identified during the final occupational analysis conference as drop-out tasks, the currently rejected tasks represent a trend which will continue.

There are likely to be two types of police planners five years from now. One type will be the bona fide long range planners (long range planning today means "updating" the "five year lag" between law enforcement and contemporary society according to one consultant's opinion). The other type will be the technical specialist who does special studies and becomes more involved in technical operations.

With regard to specific knowledge/skill equirements from Table VIII-III-40, several changes are expected to occur throughout the next five years.

- #1. Crime reporting systems—This is expected to increase in emphasis because of the growing recognition that improved reporting systems are needed.
- #4. Police role and function in a democratic society--This will increase because civilian planners will especially need it more.
- #13. Community needs and resources—The same rationale was given as for number four above.
- #15. Resource allocation and utilization--There will be an increased emphasis on cost effectiveness and productivity.

- #18. Data processing and application of computer science for agency operations—There will be increased computerization and use of forecasting models.
- #19. Issues in police productivity—The same rationale applies as for number 15.
- #20. Departmental goals, objectives, and priorities—There is not much emphasis today on objectives, but there will be more five years from now. Police planners will have to become more "attuned" to social and governmental priorities.
- #25. Group process--Civilian planners will especially need more of this in order to work more effectively with officers.
- #38. Research, evaluation, and systems analysis--This is expected to increase as the occupation becomes professionally upgraded.
- #39. Elementary statistics and data analysis--The same rationale applies as for number 38 above.
- #41. How to prepare grant applications—This will increase because increased competition for grant funds is expected.
- #45. Police media relations, etc.—This is expected to increase as police planners become more professional (although the consultants felt the rejected press relations task would not be restored to the task profile five years from now).

9. Occupational Analysis of Police Legal Advisor

a. <u>Police Legal Advisor Task Profile</u>. Task checklists were completed and returned by 12 police legal advisors. Their distribution by type of agency is shown in Table VIII-III-18. The median age of these respondents was 33 years, and the median length of employment in their agencies was four years. The level of formal education attained by the respondents at the time of the study was a law degree.

The task profile of the police legal advisor occupation is presented in Table VIII-III-42 and includes 18 of the 25 tasks in the original checklist plus three tasks added during the final occupational analysis conference. Five of the rejected tasks (tasks 5, 12, 18, 19, and 21) failed to meet our empirical criterion for being retained in a final, composite profile. The other two rejected tasks (tasks 17 and 25) were rejected during the final conference by the consultants. The consultants also made several revisions in the retained tasks, and these revisions are distinguished from the original descriptions in Table VIII-III-42. Since there are only 12 respondents in the field sample, the consultants were given latitude to make whatever changes were judged appropriate during a one-day intensive study of the task and knowledge checklist items and data.

The most prominent tasks in the profile in terms of the percentage of police legal advisors performing them and the relative amount of time spent on them involve research on legal aspects of police operations (task 1), legal consulting services to the police (tasks 8 and 24) and research on legal trends (task 10).

b. <u>Police Legal Advisor Knowledge and Skill Requirements</u>. The knowledge checklist was completed and returned by 17 legal advisors or their

Table VIII-III-42
Task Profile of Legal Advisor Occupation

Task No. a,b	Task Description	% Who do Task	Median amount of time spent on Task ^C
1.	Conducts (legal research) [studies of] and prepares position papers about		
	various legal phases of police department operations.	91.7	2.0
2.	Monitors oral testimony and demeanor of officers in court.	50.0	1.0
3:	Discusses a charge and circumstances of arrest made by an officer, ensuring that the charge and circumstances are in accordance with applicable laws and made in accordance with departmental policies and procedures.	83.3	1.8
4.	Reviews reports or files containing information related to misdemeanor and/ or felony cases to ensure that the report is complete and accurate, and		
	that the case is prosecutable in judicial proceedings.	41.7	2,3
6.	Prepares and files application for arrest and search warrants with the proper judicial official.	75.0	1.6
7.	Meets periodically with officers of the department to inform them of any new court decisions/laws) affecting departmental policies and procedures. [or to review nolle-prosse cases]	75.0	2.2
8.	Provides (consultation) consulting services to management, supervisors, and officers regarding legal matters (and recommends operational procedures to meet technical points of the law.) [visiting various operational elements to meet with persons regarding technical points of the law which require	1	
	clarification.]	100.0	2.7
9.	Responds to all incidents which require the presence of legal counsel to provide legal advice and assistance to officials at the scene.	75.0	1.2
10.	Reviews (departmental rules, regulations and orders for legal sufficiency and revises same when judicial decisions/interpretations or legislations require.) [and studies trends in the law as indicated by judicial decisions and legal interpretations, and translates these into departmental policies and procedures when warranted.]	100.0	2.8
11.	Prepares and submits [formal] legal opinions regarding departmental (administrative) matters.	91.7	2.7
13.	Talks with representatives of prosecutor's office, discussing reasons for court dismissal actions, contacting prosecutor who tried a particular case in question, if necessary, for clarification or recommendation. Discusses dismissal cases with prosecutors, ascertaining reasons for dismissal and relating same to appropriate police personnel.)	75.0	1.6
14.		 	
	laws and codes applicable in department's area of jurisdiction.	54.5	2.1

Table VIII-III-42 (Continued) Task Profile of Legal Advisor Occupation

Task No. a,b	. Task Description	% Who do Task	Median amount of time spent on Task ^c
15.	Reads and reviews contractual agreements[such as leases] to ensure that legal agreements necessary to departmental operations are properly executed.	91.7	1.5
16.		91.7	1.5
20.	(Talks or writes to) [Communicates orally or in writing with] personnel in department and with personnel of other law enforcement/criminal justice agencies, (the legislature,) the community, and outside boards and councils.	91.7	1.9
22.	Attends and participates in professional meetings, conferences, seminars and staff meetings.	100.0	1.7
23.	[Instructs law enforcement personnel in new and revised interpretations of statutes.] (Prepares and presents training materials to meet pre-service and in-service training needs.)	81.8	2.2
24.		91.7	2.0
25.	Confers with departmental chief executive and command staff to report progress on programs and projects and to receive guidance.	91.7	1.5
	Reviews and advises on disciplinary procedures and related matters.		
(2/.)	Reviews federal, state and local legislation and drafts legislation/ comments where appropriate.		Ċ
(28.)	Manages the operation of a police legal unit.		

^aTask numbers in parentheses denote tasks added by consultants during final occupational analysis conference.

b Brackets and parentheses represent consultant deletions and additions, respectively.

c1 = A very small amount of time, 2 = a moderate amount of time, and 3 = a considerable amount of time.

superiors. The distribution of these respondents by agency type is shown in Table VIII-III-18. Summary data on responses to the original checklist of 61 items are presented in Table VIII-III-43. There was a sufficient number of changes made to the knowledge/skill profile during the final occupational analysis conference to justify a revised profile for this occupation. The revised profile, shown in Table VIII-III-44, contains 38 items, and these are regarded here as the ones to be emphasized as knowledge/skill requirements necessary to varying degrees for capable performance of the legal advisor's job.

Table VIII-III-44 also identifies the task markers for the knowledge/skill requirements. Five of the requirements are job pervasive, while the majority are associated with one or more task markers. The average number of task markers per knowledge/skill requirement is 1.4 tasks. The tasks most often associated with a variety (4 or more) of knowledge/skill requirements are abbreviated below with the number of requirements in parenthesis (the identity of the requirements can be determined from Table VIII-III-43):

- 8. Provides consulting services (15)
- 23. Prepares and presents training materials (5)
- 24. Advises chief executive or staff (5)
- c. <u>Training and Education Implications</u>. We have already identified the more prominent tasks and the knowledge/skill requirements to be emphasized for the police legal advisor occupation. Some of these tasks and requirements are learned sufficiently before individuals become police legal advisors. By definition, these individuals already have been professionally trained as lawyers. Even so, a number of knowledge/skill deficiencies apparently exist among newly appointed lawyers as they attempt to apply their training to police legal work.

Table VIII-III-43
Knowledge/Skill Profile of Legal Advisor Occupation1

			Median Job Require- ment Level	Median Initial Proficiency Level	Difference
Α.	Po1	ice Responsibilities and Environmental Relationships			
	1.	current criminal activities/trends	2.9	1.9	1.0
	2.	police authority and responsibility, rights, ethics and civil liability	3.4	2.2	1.2
	3.	history of police, role and function in a democratic society	2.2	1.6	.6
	4.	background and philosophies of social control and justice	2.1	1.4	•7
	5.	criminal justice system/agencies/relations	2.8	1.9	.9
	6.	criminal/civil law definitions and procedures	3.8	2.5	1.3
•	7.	constitutional issues and trends, current/recent judicial decisions	3.7	2.3	1.4
	8.	laws of evidence; court preparation, presentation, admissability	3.6	2.3	1.3
	9.	local jurisdiction, laws and ordinances	3.7	2.1	1.6
	10.	preparation and execution/issuance/processing of a warrant or subpoena	3.8	2.2	1.6
	11.	citizen rights and complaints	3.3	2.1	1.2
	12.	courtroom procedures, demeanor and presentation of testi- mony	2.9	2.2	•7
_	13.	suspect identification by victim or witness, conducting criminal line-up	3.1	1.9	1.2
	14.	confession	3.7	2.0	1.7
_	15.	police authority, rights and civil liability	3.8	2.0	1.8
-	16.	police pressure groups, radical groups, dissidents, non- conformist cultures	2.3	1.6	.7
	17.	contemporary social problems	2.1	1.8	.3
В.		anization and Management	2.1		1.0
	18.	police organization, administration, and operations	3.1	1.3	1.8

¹See attachments to Appendix for definitions of job requirement and proficiency levels.

Table VIII-III-43 (Continued) Knowledge/Skill Profile of Legal Advisor Occupation

17

		re-) }
		Require-	Initial ency Level	į
		Median Job ment Level	an fci	
19.	police labor relations, employee organizations, nego- tiating and collective bargaining	2.6	;	
20.	departmental goals, objectives, activities, programs, and special projects	3.1	1.0	2
21.	departmental structure, organization, policies, pro- cedures and performance standards	3.0	1.1	1
22.	written and oral communications	3.6	3.1	,
23.	tion requirements, position classification, career development, performance evaluation, civil service	2.0	1	-
	rules and regulations		1.6	i
24.			1.8	-
25.	use of volunteers and/or para-professionals	2.1	1.6	
	ice Operations		·	
26.	criminal investigation policies, procedures, techniques and problems	2.9	1.8	1
27.	traffic administration; control, safety engineering	1.9	•6]
28.	traffic direction, regulation, laws and ordinances	2.4	1.2] 1
29.	police tactical operations	2.2	1.1]
30.	crowd/riot control	2.1	1.6	
31.	major case-hostage situations/sniping situation-organiza- tion and operation of crime strike/task forces	2.3	1.2]
32.	juvenile offenders, juvenile justice system and juvenile law	3.1	1.9]
33.	departmental policies and procedures pertaining to juveniles	3.3	1.3]
34.	interviewing complainants, witnesses and suspects	2.9	1.4]
35.	collecting, synthesizing, protecting and recording information	3.1	1.5]
36.	criminal jargon	2.3	1.3	
37.	information sources and informants	2.5	1.2	1

Table VIII-III-43 (Continued) Knowledge/Skill Profile of Legal Advisor Occupation

		Job Require-	Initial ency Level	
		Median Job ment Level	Median In Proficie	Di Fforence
38.	conducting visual and audio surveillance	2.4	.8	1.
39.	operation of agency computer terminal and how to access agency files for specific information	1.8	.4	1.
40.	report preparation and departmental forms	2.4	.8	1.
41.	departmental policies and procedures pertaining to arrest and detention	3.8	1.5	2.
42.	prisoners-rights, transportation and safety, booking, and disposition of	3.6	1.5	2.
43.	hot pursuit and defensive driving techniques, policies and procedures	3.3	1.2	2.
44.	use of physical force, lethal and non-lethal weapons	3.9	2.0	1.
Sta	ff Services			1
45.	community relations	2.0	1.1	
46.	relations with ethnic minorities	2.2	1.4	
47.	public education program	2.0	.9	1.
48.	police media relations/role of the press/release of information policies	2.9	1.3	1
49.	departmental policies and procedures pertaining to the issues requiring formal legal interpretation and to the rendering of legal advice and services by agency counsel	3.8	1.8	2
50.	laws pertaining to contractual agreements, collective bargaining, employment practices and class action suits	3.2	1.5	1
51.	procedures for preparation of litigation for defense of officers/department in civil suits	3.6	2.1	1
52.	factors involved in court dismissal actions	3.6	1.9	1
53.	how to present department policy or plead department case as expert witness in court	3.5	1.1	2
54.	practices and methods of legal research	3.8	2.8	1
	legal training needs and requirements	3.8	2.3	1

Table VIII-III-43 (Continued) Knowledge/Skill Profile of Legal Advisor Occupation

			Median Job Requirement Level	Median Initial Proficiency Level	Difference
	56.	teaching methods/techniques/training resources used in instruction of police personnel	3.0	1.5	1.5
	57.	use of training aids	2.6	1.7	.9
Ε.	Auxi	liary and Technical Services	:	4	
	58.	records processed and maintained by the department	3.0	1.1	1.9
	59.	departmental communications capability, policies, use and procedures	2.5	1.0	1.5
	60.	departmental physical evidence policies and procedures: identification, collection, preservation, chain of custody, analysis, technical procedures, specific crime relationship, utility, limitations, disposal	3.1	1.7	1.4
	61.	availability, use and maintenance of police supplies and equipment	1.9	.7	1.2
-				İ	1

Knowledge Item	Conference Ad- justed Require- ment Level	Future Requirement Level	Task Markers
A. Police responsibilities and environmental relationships			
<pre>l. current criminal activities/trends/social problems</pre>	1.5	1.5	job pervasive
2a.police criminal and civil liability	2.5	3.6	job pervasive
2b.police and legal advisor ethics	1	11	job peripheral
 history of police, role and function in a democratic society 	2	2	job pervasive
5. criminal justice system/agencies/relations	2.8	2.8	task 20
6. criminal/civil law procedures	3.5	3.5	task 8
7. current/recent judicial decisions	3.7	3.7	task 23
8. laws of evidence	3.6	3.6	tasks 7, 9, 23
9. Federal, State and local laws and ordinances	3.7	3.7	tasks 8, 14
10. arrest and search	2.	2	tasks 6,8
12. courtroom procedures, demeanor and presentation of testimony	2	2	task 2
13a.suspect identification procedures	3	3	task 8
13b.line-up procedures	3	3	task 8
15. police authority and responsibility	2.5	3.5	job pervasive
B. Organization and management			
19. police labor relations	2.5	3.5	task 24
20. departmental goals, objectives, activities, programs, and special projects	2	2	task 24
21. departmental structure and operations	2.5	3.5	tasks 1, 8, 24, 25
22. written and oral communications	3	3	task 23, also job pervasive
23. personnel rules, regulations and requirements	3	3	tasks 10, 11
25a.principles and practices of law office management	3.5	3.5	added task 28

1See attachments to Appendix for definitions of job requirement and proficiency levels.

Table VIII-III-44 (Continued)

	•			
	Knowledge Item	Conference Ad- justed Require- ment Level	Future Requirement Level	Task Markers
C. Po	lice operations			
26.	criminal investigation policies, procedures, techniques and problems	2.5	2.5	task 8
28.	traffic direction, regulation, laws and ordinances	2	2	task 8
30.	problems of mass demonstration	2	2	task 8
32.	<pre>juvenile offenders, juvenile justice system and juvenile law</pre>	3	3	task 8
34.	interregation of suspects	3	3	task 8
35.	<pre>protection, release or dissemination of criminal history information</pre>	2.5	2.5	task 8
40.	report preparation and departmental forms	2.4	2.4	tasks 4, 10
41.	departmental policies and procedures pertaining to arrest, custody and detention	3.5	3.5	tasks 3, 8, 23
42.	jail house procedures and conditions	3.3	3.3	task 8
44.	use of physical force, lethal and non- lethal weapons	3	3	task 8
	aff services			
50.	laws and case law pertaining to contractual agreements	2.5	2.5	task 15
51.	<pre>procedures for preparation of litigation for defense of officers/department in civil suits</pre>	3	3	task 16
· <u>52.</u>	factors involved in court dismissal actions	3	3	task 13
<u>54</u> .	practices and methods of legal research	3.5	3.5	task l
56.	teaching methods/techniques/training resources used in instruction of police personnel	3	3.5	task 23
E. Au	exiliary and technical services			
	departmental communications capability, policies, use and procedures	2	2	tasks 15, 24

Table VIII-III-44 (Continued)

	Knowledge Item	Conference Ad- justed Require- ment Level	Future Requirement Level	Task Markers
60	departmental physical evidence policies, and legal implications	3	3	task 8
61	<pre>availability, use and maintenance of police supplies and equipment</pre>	2	2	tasks 15, 24

The most prominent deficiency areas (represented by deficiency values of 1.5 or greater) are presented in Table VIII-III-45. There are 26 such deficiency areas, although eight of them were rejected as necessary knowledge/skill requirements during the final occupational analysis conference. These lawyers apparently feel deficient in a number of areas when first appointed as police legal advisors (the deficiencies are apparently perceived also by their superiors since five of the 17 respondents on the knowledge checklist were either police chiefs or supervising attorneys). A review of the content in Table VIII-III-45 indicates that many of the deficiencies involve knowledge of police operations, policies and procedures.

Task oriented training and education data are fragmentary and limited for this occupation. Nevertheless, a few tentative observations can be offered here:

There are a number of tasks in which three to five of the 12 police legal advisors in our sample felt the legal training they received was insufficient preparation for their present occupation but there was no task in which more than one-half of the legal advisors held this opinion.

Given the large number of knowledge/skill deficiency areas characteristic of newly appointed legal advisors, they apparently rely on informal job experience to learn police operations, policies, etc. This appears to be the case, since the majority of respondents indicated informal job experience was the most valuable of all actual sources for learning most of the tasks of this occupation. There were six tasks, however, in which formal education was judged the most valuable (tasks 1, 2, 11, 13, 15 and 16).

It may strike some as incredible that police legal advisors, already trained as lawyers, would be deficient in any areas and would, furthermore, cite informal job experience as the most valuable and actual source of learning how to do some of the police legal work. But if deficiencies exist when the lawyer is appointed and becomes a police legal advisor in title, and if he/she is given

Table VIII-III-45

The Most Prominent Knowledge and Skill Deficiencies

Typically Characteristic of Newly Appointed Police Legal Advisors

Item Number ¹	Knowledge or Skill	Deficiency Value ²				
r53.	How to present department policy or police department ment case as expert witness in court	2.4				
41.	Departmental policies and procedures pertaining to arrest and detention	2.3				
20.	Departmental goals, objectives, activities, programs, and special projects					
-42.	Prisoners-rights, transportation and safety, booking, and disposition of	2.1				
r43.	Hot pursuit and defensive driving techniques, poli- cies and procedures	2.1				
r49.	Departmental policies and procedures pertaining to the issues requiring formal legal interpretation and to the rendering of legal advice and services by agency counsel	2.0				
21.	Departmental structure, organization, policies, pro- cedures and performance standards	1.9				
44.	Use of physical force, lethal and non-lethal weapons	1.9				
r58.	Records processed and maintained by the department	1.9				
15.	Police authority, rights and civil liability	1.8				
r18.	Police organization, administration, and operations	1.8				
r14.	Confession	1.7				
19.	Police labor relations, employee organizations, negotiating and collective bargaining	1.7				
50.	Laws pertaining to contractual agreements, collective bargaining, employment practices and class action suits	1.7				
52.	Factors involved in court dismissal actions	1.7				
9.	Local jurisdiction, laws and ordinances	1.6				
10.	Preparation and execution/issuance/processing of a warrant or subpoena	1.6				
35.	Protection, release or dissemination of criminal history information	1.6				
38.	Conducting visual and audio surveillance	1.6				
40.	Report preparation and departmental forms	1.6				
•		1				

Table VIII-III-45 (Continued)

The Most Prominent Knowledge and Skill Deficiencies

Typically Characteristic of Newly Appointed Police Legal Advisors

Item Number ¹	Knowledge or Skill	Deficiency Value ²
r48.	Police media relations/role of the press/release of information policies	1.6
34.	Interviewing complainants, witnesses and suspects	1.5
51.	Procedures for preparation of litigation for defense of officers/department in civil suits	1.5
r55.	Legal training needs and requirements .	1.5
56.	Teaching methods/techniques/training resources used in instruction of police personnel	1.5
59.	Departmental communications capability, policies, use and procedures	1.5

¹ Code letter r denotes items rejected as necessary knowledge/skill requirements during the final occupational analysis conference.

 $^{^{2}}$ The deficiency value is the difference measure drawn from Table 43.

no in-service training, then job experience is the <u>only</u> source of learning how to capably perform some of the work. The following excerpt from a continuation grant application is testimony that a lawyer, when appointed, is not automatically transformed into an effective police legal advisor:

There also has been the problem of training project attorneys to perform the specialized legal service required by police personnel, as this is an area of the legal profession unique unto itself.

10. Occupational Analysis of Mid-Level Manager

a. <u>Mid-Level Manager Task Profile</u>. Task checklists were completed and returned by 64 mid-level managers (hereafter referred to in the text as managers). Their distribution by type of agency is shown in Table 18. The median age of these respondents was 45 years, and the median length of employment in their agencies was 19.5 years. The median level of formal education attained by the respondents at the time of the study was between two and three years of college.

The task profile of the manager occupation is shown in Table 46 and includes all of the tasks in the original checklist plus two added during the final occupational analysis conference. No tasks were rejected since all met the criterion for inclusion in a final composite task profile.

There are eight tasks (Tasks 2, 3, 5, 6, 10, 19, 21, and 22) in each of which 70% or more of the managers in our sample spend a moderate or more amount of their time. Three of the tasks (Tasks 5, 21, and 22) in which 95% or more of the managers typically spend between a moderate and a considerable amount of their time involve review, evaluative, and inspectional activities.

b. <u>Mid-Level Manager Knowledge and Skill Requirements</u>. The knowledge checklist was completed and returned by 42 managers. Their distribution by type of agency is shown in Table 18. Summary data on checklist responses are presented in Table 47. All but four of the 49 items (checklist items 23, 46, 48, and 49) can be regarded as knowledge and skill requirements to be emphasized for this key occupation.

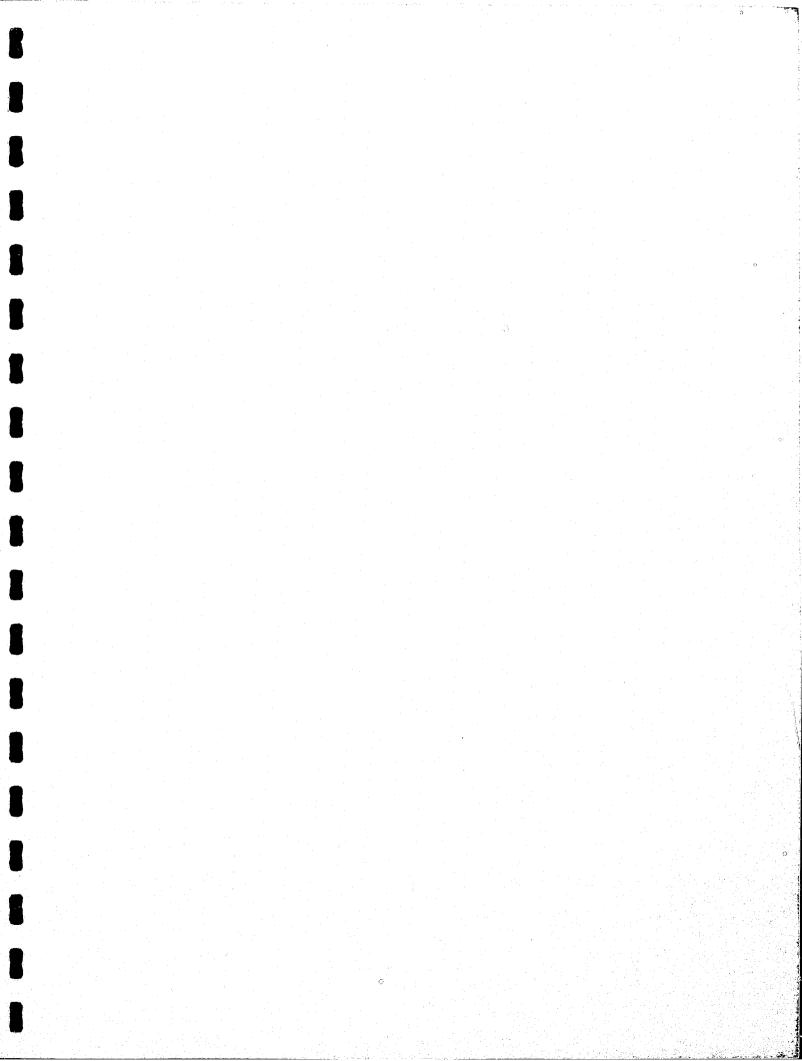


Table VIII-III-46
Task Profile of Mid-Level Manager Occupation

Task No. a	Task Description	% Who do Task	Median amount of time spent on Task ^b	
1.	Formulates clearly defined unit or departmental goals, objectives, policies, and procedures considering laws and wishes of the community.	69.8	1.8	
2.	Considers a wide variety of alternatives and plans department and major			
	project operations so activities will be effective and efficient.	82.5	2.3	
3.	Organizes and staffs department or unit to gain optimal benefit from budgeted funds, and available resources	89.1	2.0	
4.	Negotiates with representatives of employee organizations in collective bargaining, and discusses grievance with employees and their representa-			
	tives.	38.7	1.3	
5.	Evaluates unit or departmental operations and plans or modifies unit or departmental plans and policies to increase effectiveness.	95.2	2.2	
6.	Receives, reviews, revises, approves and forwards daily, periodic and summary reports concerning activities of the department, bureau, division, or unit to assist in evaluating individual, group and unit performance.	93.8	2.1	
7.	Prepares, reviews, revises, and approves budget request considering needs of unit, department or community and participates in its presentation to the approving authority.	54.0	1.5	
8.	Reviews, approves, and makes recommendations concerning personnel actions, including selection, evaluation, commendations, disciplinary actions, assignments and promotions.	96.8	1.8	
9.	Responds to scene of major occurrences, provides advice and assumes leadership of situation as needed.	85.7	1.4	
10.	Conceives, plans and recommends methods for preventing or coping with major crimes or other protective service problems of the community.	82.5	2.0	
11.	Formulates and directs preparation of applications for federal or other grants.	25.4	1.1	
12. #	Gathers, dispenses and exchanges information by personal contact, correspondence, and conference with subordinates, community leaders, specialists, outside agencies and peers.	90.5	1.8	
13.	Meets with representatives of the news media in order to provide information relevant to current activities.	59.7	1.2	
14.	Responds to calls or correspondence from local citizens or government officials in order to facilitate public understanding of the department and its role in the community.	92.1	1.6	

Table VIII-III-46 (Continued)

Task Profile of Mid-Level Manager Occupation

Task No. a	Task Description	% Who do Task	Median amount of time spent on Task ^b
15.	Testifies and speaks as agency representative at judicial proceedings, committee hearings, conferences and public gatherings.	79.7	1.2
16.	Receives and imparts training in law enforcement and related disciplines.	87.3	1.7
17.	Coordinates activities of police with government and community agencies in common or overlapping activities.	79.4	1.4
18.	Prepares written directives and standard operating procedures for sensitive or major impact operations.	77.8	1.8
19.	Receives and analyzes departmental crime and workload statistics and other indices of police effectiveness.	71.4	2.1
20.	Conducts studies of and prepares position papers about phases of police department operations which are ineffective, inefficient or under		
21.	criticism. Receives, investigates, reports and takes action on complaints concerning subordinates or departmental operations.	95.2	2.0
22.	Monitors and spot checks operations and modifies procedures to correct deficiencies.	95.2	2.3
23.	Enforces the law situationally, exercising discretion as to the most effective means of controlling or preventing the situation or resolving the problems.	73.8	1.9
24.	Discusses and confers with investigators on special or sensitive criminal cases in order to direct and coordinate field investigations and provide	75.0	
(25.)	general overall guidance and direction. Provides supervision of immediate subordinates.	77.8	1.8
(26.)	Implements action plans.	*	

^aTask numbers in parentheses denote tasks added by consultants during final occupational analysis conference.

 b_1 = A very small amount of time, 2 = a moderate amount of time, and 3 = a considerable amount of time.

Table VIII-III-47
Knowledge/Skill Profile of Mid-Level Manager

			Fiel	d San	ple	. Co		
	Kı	nowledges and Skills ¹	Median Job Re- quirement Level	Median Initial Proficiency Level	aou	Consultant Adjusted Requirement Level	Future Requirement 7	Task Markers
A.		ice Responsibilities and Environ- tal Relationships						•
	d1.	the police history, role, mission, authority and responsibility	3.2	2.4	.8	2.5	2.7	task l
-	d2.	<pre>criminal justice system/agencies/ relationships</pre>	3.1	2.3	.8	2.5	3	tasks 12, 17
	d3.	criminal/civil laws and legal pro- cedures	3.2	2.4	.8	3	·	tasks 10, 23, 24
	c4.	legal issues and trends in law enforcement	3.1	2.1	1.0	3		task 10
	d5.	citizen rights and processing of complaints	3.2	2.2	1.0	3		task 21
	<u>c</u> 6.	external pressure groups, radical groups, dissidents	2.7	1.9	.8	2.7		task 12
	d7.	contemporary social problems	2.7	2.0	.7	2.5		task 1
	c8a.	police ethics	3.4	2.4	1.0	2.5		task 16
ا	c8b.	civil liability	3.4	2.4	1.0	2.5		tasks 10, 21
	d9.	community needs and resources	2.9	2.0	.9	2.5		tasks 1, 2
	• •	anization and Management leadership and supervision	3.7	2.3	1.4	3		job pervasive, added task 25
· · ·	d11.	police organization, administra- tion, and operations	3.7	2.3	1.4	2.5	2.7	job pervasive
	d12.	fiscal and budget management	3.1	1.6	1.5	2.5	2.7	task 7
	c13.	police labor relations	2.8	1.6	1.2	2.5	2.7	tasks 4,8
	d14.	planning and research	2.8	1.6	1.2	2.5		tasks 2, 5, 10, 11
	c15.	decision-making	3.7	2.4	1.3	3		task 2

¹ c and d = quad c and d knowledge/skill requirements respectively; e = requirements added by consultants

²Blank cells signify no future changes expected.

Table VIII-III-47 (Continued)

	Knowledge/	Skill	Profile	of	Mid-Level	Manager
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				1	Cor) i	
		Fiel	d Sam	ple			
Kno	wledges and Skills ¹	Median Job Re- quirement Level	Median Initial Proficiency Level	Difference	Consultant Adjusted Requirement Level	Future Requirement	Task Markers
d16. m	management by objectives	3.3	2.0	1.3	2.5		tasks 1, 2, 3, 5 added task 26
	otivation, morale, and police productivity	3.5	2.2	1.3	2.5	3	task 8, added task 25
d18. d	epartmental goals and objectives	3.7	2.4	1.3	2.5		task 1
d19. w	ritten and oral communications	3.4	2.4	1.0	2.5		task 12
d20. p	ersonnel administration	3.2	2.0	1.2	2.5		task 8
d21. h	numan relations/group processes	3.0	2.0	1.0	2.5		task 12, added task 25
	eeds assessment, resource alloca-	3.2	1.8	1.4	2.5		task 3
, · · · · · · · · · · · · · · · · · · ·	lata processing and the use of computers in agency management and operations	2.4	1.1	1.3	2	2.5	task 19
c24. p	e Operations police administration, policies, procedures, techniques and prob- lems	3.5	2.4	1.1	3		job pervasive
	riminal investigation policies, procedures, techniques and problems	3.0	2.5	•5	3.		job pervasive
	raffic supervision, safety, and ccident investigation	2.5	2.1	.4	3		job pervasive
c27. p	oolice tactical operations	2.9	2.2	.7	3		tasks 9, 18
c28. c	rowd/riot control	2.8	2.2	.6	3		tasks 9, 18
c29. h	ostage and sniping situations	2.8	1.8	1.0	3		tasks 9, 18
c30. c	rime strike/task forces	2.7	1.9	.8	3		tasks 10, 18
	rime prevention (prevention of criminality)	3.0	2.1	.9	2.5		task 10

Table VIII-III-47 (Continued)

	Knowledge/Skill Profile of	Mid-L	evel M	lanag	er		
		Fiel	d Samj	ole	Con sult		
K	nowledges and Skills ¹	Median Job Re- quirement Level	Median Initial Proficiency Level	Difference	Consultant Adjusted Requirement Level	Future Requirement F	Task Markers
a33.	crime resistance techniques such as commercial, industrial and residential security	2.2	1.6	.6	2.5		task 10
c34.	juvenile justice system and laws	2.6	1.9	.7	3		job pervasive
a35.	prevention and control of juvenile delinquency	2.5	1.8	•5	2.7		task 24
.d36.	interviewing and eliciting information	2.7	2.2	.5	2.7		task 24
d37.	collecting, recording and analyz- ing information	3.0	1.9	1.1	2.5		tasks 6, 19
d38.	case reporting	2.9	2.2	.7	2.9		task 22
c39.	arrest and detention	2.8	2.4	.4	3		tasks 16, 22
a40.	hot pursuit	2.3	2.2	.1	3		tasks 16, 22
c41.	use of physical force, lethal and non-lethal weapons	3.0	2.6	.4	3		tasks 16, 22, 23
D. Sta	ff Services						
d42.	police-community relations	3.1	2.0	.9	2.5		task 14
d43.	police-news media relations and public information	3.1	1.9	1.2	2.5		task 13
c44.	legal advice/services	2.8	1.9	.9	2.5		task 12
d45.	training	3.0	2.1	.9	2.7		task 16
E. Aux	iliary and Technical Services						
46.	police communications	2.5	1.9	.6	2.5		task 22
d47.	police records and information systems	2.8	1.8	1.0	2.5	2.7	tasks 6, 22
48.	criminalistics/crime laboratory	2.2	1.6	.6	2	2.5	task 22
49.	police supplies, equipment, and facilities	2.4	1.9	.5	2.5		task 22

Table 47 also identifies the task markers for the knowledge and skill requirements. Eight of these (items 10, 11, 24-26, 32, 34 and 35) are job pervasive, while the majority have one or more clearly identifiable task markers. The average number of task markers per knowledge/skill requirement is 1.3. The tasks most often associated with a variety of (4 or more) knowledge/skill requirements are abbreviated below with the number of knowledge/skill requirements in parentheses (the identity of the requirements can be ascertained from the task marker column in Table 47):

- 22. Monitors operations (8)
- 10. Plans police service methods (7)
- 1. Formulates unit or agency goals, etc. (5)
- 12. Exchanges information on interpersonal or formal basis (5)
- 16. Receives and gives training (5)
- 2. Plans operations (4)
- 18. Prepares directives and SOP's (4)
- c. <u>Training and Education Implications</u>. With regard to training emphasis, we have already noted that the most prominent tasks of the manager occupation involve review, evaluative, and inspectional activities. We have also identified the tasks with the largest number of different knowledge/skill requirements. These tasks overlap somewhat with the other prominent tasks, but also include activities of a conceptual and communicative nature.

With regard to any knowledge/skill deficiencies which might characterize the status of newly appointed managers, there is only one requirement, fiscal and budget management (item number 12 in Table 47) with a deficiency value of 1.5. The average deficiency value for all knowledge/skill requirements is .9, a value less than that of the patrol supervisor occupation (1.1) and that of the detective supervisor occupation (1.0). While the deficiency values have no absolute quantitative meaning, relative to the first-line supervisory occupation it is somewhat surprising to find that the manager deficiencies are no more prominent than they are.

We suggest the deficiency value may underestimate the true middle management training needs, at least in certain subject areas, within police agencies today. A review of our agency interview data reveals that in seven of the agencies visited, chief executives and commanders specifically mentioned management development and training among their critical or unsatisfactorily met training needs. There is perhaps more verification of this interview finding from our checklist deficiency values in that the average deficiency level of the organization and management subject area is higher than for the overall average deficiency level (1.3 versus .9, respectively).

Task oriented training and education data are fragmentary and limited for this occupation. A review of the data summarized in Table 48 data, however, permit us to make several, very tentative, observations.

- Except for one task (task 4), informal job experience was judged to be the most valuable of the sources from which managers actually learned to perform their job.
- The percentage of managers who felt they received too little task-oriented training ranged from 10% to 65%, with the average for all tasks being 27%. The three tasks for which 50% or more of the managers felt their training was

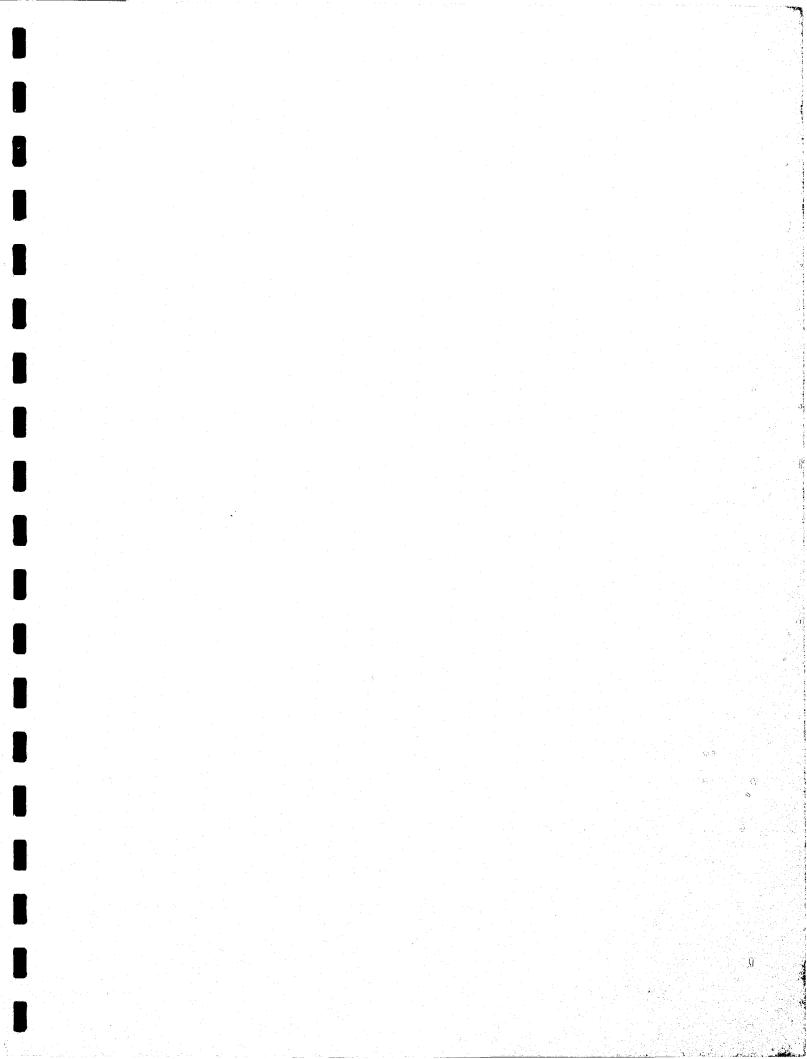


Table VIII-III-48

Training and Education Data on Mid-Level Manager Tasks with Emphasized Knowledge/Skill Requirements

	Knowledge/Skill Requirement Numbers ^a (Difficiency Values) ^b	Deficiency Level ^c	Most Valuable Source Where Task Actually (Learnedd	Training Sufficiency ^e % Too	Frequ	ency Each	Way Judged Be	est Way to Le	earn Tas	:k		
Task . No.		Task I	Most V Source Wh Actually	Little (N=42)	Academic Education	Special Training	Experienced Coworkers	On-the-job Training by Supervisor	Other	None Needed	College Course(s) Essential? # Yes	(n) ^f
1	$\frac{1}{(.8)}$ $\frac{7}{(.7)}$ $\frac{9}{(.9)}$ $\frac{16}{(1.3)}$ $\frac{18}{(1.3)}$	3	job exper.	26%	2	4	0	0	2	0	5	(7)
2	$\begin{array}{c ccccccccccccccccccccccccccccccccccc$	3	job exper.	19%	2	2	1	1	2	0	2	(3)
3	$\frac{16}{(1.3)} \frac{22}{(1.4)}$	3	job exper.	30%	5	5	3	2	1	0	5	(9)
4	(1.2)	2	formal trng& job exper.	50%	0	3	0	0	0	0	0	(3)
5	$\begin{array}{c c} 14 & 16 \\ (1.2) & (1.3) \end{array}$	4	job exper.	. 33%	2	2	0	1	0	0	4	(5)
6	$\frac{37}{(1.1)}$ $\frac{47}{(1.0)}$	3	job exper.	26%	0	3	0	0	1	0	1	(4)
7	$\frac{12}{(1.5)}$	4	job exper.	50%	1	1	0	0	2	0	3	(4)
8	$\begin{array}{c ccccccccccccccccccccccccccccccccccc$	3	job exper.	18%	0	5	0	0	**o	0	2	(7)
9	$\begin{array}{ c c c c c c c c c c c c c c c c c c c$	3	job exper.	14%	0	1	0	1	2	0	0	(3)
10	$\begin{array}{c ccccccccccccccccccccccccccccccccccc$	3	job exper.	34%	1	0	1	0	0	0	1	(2)
11	(1.2)	3	job exper.	65%	1	0	1	0	0	0	1	(2)
12	(.8) $(.8)$ (1.0) (1.0) $(.9)$	3	job exper.	19%	0	3	1	1	1	0	0	(4)
13	$\frac{43}{(1.2)}$		job exper.	26%	No man	ager revie	wers					
14	(.9)		job exper.	16%	No man	ager revie	wers					
15		4	job exper.	28%	0	1	0	0	0	0	1	(1)
16	$\begin{array}{ c c c c c c c c c c c c c c c c c c c$		job exper.	19%	No man	ager revie	wers					

	Knowledge/Skill Requirement Numbers ^a (Difficiency Values) ^b	I ALL I A C TRAINING						st Way to Le	ik			
Task . No.		Task D	Most V Source Wh Actually	Little (N=42)	Academic Education	On-the-job Training by Supervisor		None Needed	College Course(s) Essential? Yes	(N) ^f		
17	(.8)		job exper.	10%	No mar	ager revie	wers					
18	$\begin{array}{ c c c c c c c c c c c c c c c c c c c$	4	job exper.	30%	0	1	0	1	0	0	1	(2)
19	23 <u>37</u> (1.3) (1.1)	2	job exper.	35%	1	1	0	0	0	0	2	(2)
20		3	job exper.	29%	1	0	0	0	0	0	1	(1)
21	$\frac{5}{(1.0)}$ $\frac{8B}{(1.0)}$	2	job exper.	23%	0	0	1	0	0	0	0	(1)
22	$\begin{array}{ c c c c c c c c c c c c c c c c c c c$	4	job exper.	. 15%	2	2	0	1	0	0	4	(5)
23	(.8) $(.41)$		job exper.	117	No mai	ager revie	wers			-		
24	3 36 (.8) (.5)	3	job exper.	17%	0	1	0	0	0	0	1	(1)
25	$\frac{10}{(1.4)}$ $\frac{17}{(1.3)}$ $\frac{21}{(1.0)}$											
26	16 (1.3)											
				x = 27%	18 (27%)	35 (53%)	8 (12%)	8 (12%)	11 (17%)	0	34 (52%)	(66)

²Knowledge/skill requirement numbers refer to those in Table 19. Underscored requirements are the emphasized ones. There are no training and education data for the tasks added by the consultants.

bDifficiency values are the difference measures drawn from Table 19.

CDifficulty scale: 1 - not at all difficult, 2 - slightly difficult, 3 - moderately difficult, 4 - very difficult, 5 - most difficult

dThere were three possible sources: job experience, formal training, college course

eThere were three possible categories: too little, about right, too much. A miniscule percentage checked the third category.

fN is the number of subject matter experts (authoritative job incumbents usually) who provided data on task difficulty, best way to learn, and essentiality of college courses. N is sometimes lower than the sum of the frequencies because some experts listed more than one best way.

insufficient involved collective bargaining, budgetary requests, and federal grant applications.

- Manager tasks range in difficulty from slightly difficult to very difficult. Four of the tasks (tasks 5, 7, 18, and 22) were judged very difficult.
- The majority of managers felt that special training was the one best way to learn how to perform most tasks. There were several tasks (tasks 1, 2, 5, 7, 15, 19, 20, 22, 24), however, for which the majority of reviewers felt that college courses would be essential or highly desirable. A review of the GED ratings revealed that four of these tasks (tasks 1, 5, 7, and 20) as well as six others (Tasks 3, 4, 10, 11, 18 and 22) had received GED scale values of 5 from both raters on the reasoning and the language development scales.
- d. <u>Future Outlook for Mid-Level Manager Occupation</u>. The conclusion of the final occupational analysis conference was that no changes can realistically be expected to occur in the manager task profile during the next five years. Changes in emphases, however, are expected in several knowledge/skill requirements during the next five years:
 - Police history, role, mission authority and responsibility No rationale was given.
 - Criminal justice system/agency relationships No rationale was given.

- 11. Police organization, administration and operations This requirement will increase as a result of the growing influence of continuing education of younger officers.
- 12. Fiscal and budget management This requirement is expected to increase as a result of the expected advent of program and zero based budgeting.
- 13. Police labor relations This requirement is expected to increase as police unions continue to grow and as new management responsibilities in this area emerge.
- 16. Management by objectives This is expected to increase as management assumes increased responsibilities.
- 17. Motivation, morale and police productivity The same rationale as for number 16 above is given.
- 23. Data processing and the use of computers in agency management and operations There is expected to be an increasing emphasis on data processing and computers.
- 33. Crime resistance techniques There will probably be an increased emphasis placed on this by the police.
- 47. Police records and information systems An increased emphasis is expected to continue in computerized information systems.
- 48. Criminalistics/crime laboratory An improvement in technology is expected to occur.

11. Occupational Analysis of Chief Executive

a. <u>Chief Executive Task Profile</u>. Tasks checklists were completed and returned by 38 chief executives (hereafter referred to in the text as executives). Their distribution by type of agency is shown in Table 18. The median age of these respondents was 49 years and the median length of employment in their agencies was 14.5 years. The median level of formal education attained by the respondents at the time of the study was four years of college.

The task profile of the executive occupation is shown in Table 49 and includes all of the tasks in the original checklist plus three additional ones added during the final occupational analysis conference. No tasks were rejected since all met the criterion for inclusion in a final composite task profile.

There are six tasks (Tasks 1-2, 5-7) in each of which 90% or more of the executives in our sample spend a moderate amount or more of their time. These tasks involve planning, organizing, evaluating, and fiscal management activities.

b. Chief Executive Knowledge and Skill Requirements. The knowledge checklist was completed and returned by 40 executives. Their distribution by type of agency is shown in Table 18. Summary data on checklist responses are presented in Table 50. All 49 items can be regarded as knowledge and skill requirements to be emphasized for this key occupation.

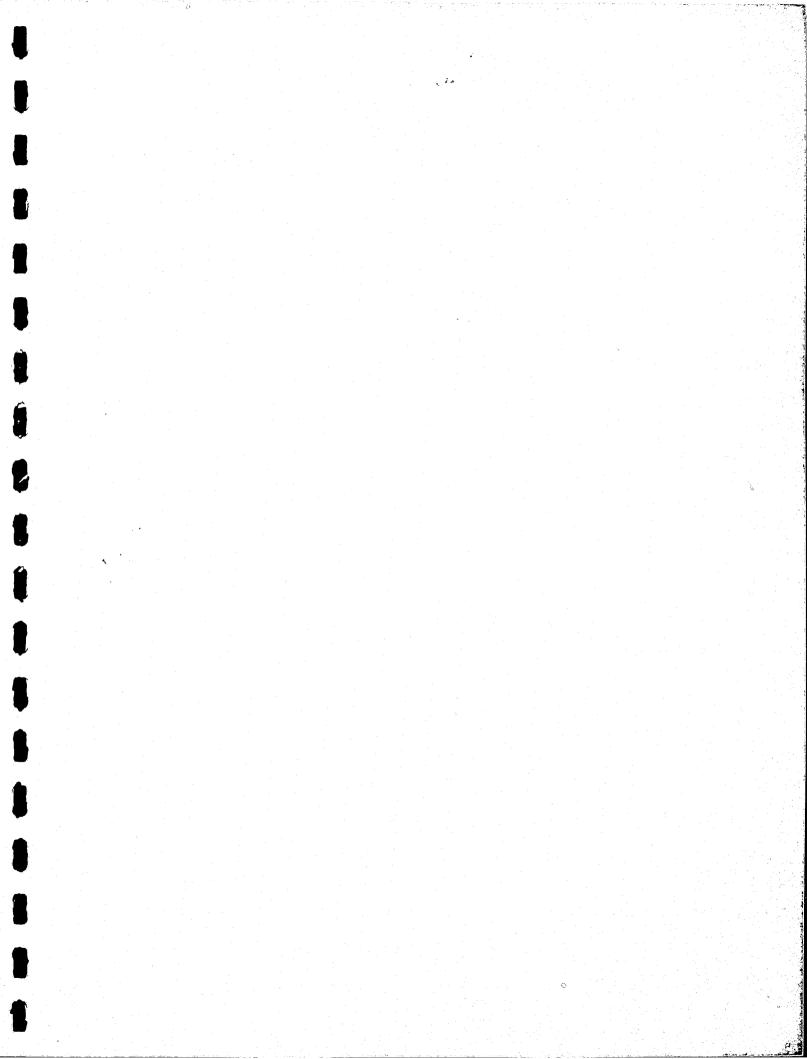


Table VIII-III-49

Task Profile of Chief Executive Occupation

Task No. ^a	Task Description	% Who do Task	Median amount of time spent on Task ^b		
1.	Formulates clearly defined departmental goals, objectives, policies, and procedures considering laws and wishes of the community.	97.3	2.4		
2.	Considers a wide variety of alternatives and plans department and major project operations so activities will be effective and efficient.	100.0	2.2		
3.	Organizes and staffs department or unit to gain optimal benefit from budgeted funds, and available resources.	100.0	2.1		
4.	Negotiates with representatives of employee organizations in collective bargaining, and discusses grievance with employees and their representatives.	59.5	1.3		
5.	Evaluates departmental operations and plans or modifies plans and policies to increase effectiveness.	100.0	2.1		
6.	Receives, reviews, revises, approves and forwards daily, periodic and summary reports concerning activities of the department, bureau, division, or unit to assist in evaluating individual, group and unit performance.	91.9	2.0		
7.	Prepares, reviews, revises, and approves budget request considering needs of department and community and participates in its presentation to the approving authority.	94.6	2.1		
8.	Reviews, approves, and makes recommendations concerning personnel actions, including selection, evaluation, commendations, disciplinary actions, assignments and promotions.	100.0	1.9		
.9.	Responds to scene of major occurrences, provides advice and assumes leadership of situation as needed.	78.4	1.2		
10.	Conceives, plans and recommends methods for preventing or coping with major crimes or other protective service problems of the community.	86.5	1.7		
11.	Formulates and directs preparation of applications for federal or other grants.	78.4	1.2		
12.	Gathers, dispenses and exchanges information by personal contact, correspondence, and conference with subordinates, community leaders, specialists, outside agencies and peers.	94.6	1.8		
13.	Meets with representatives of the news media in order to provide information relevant to current activities.	94.6	1.2		
14.	Responds to calls or correspondence from local citizens or government officials in order to facilitate public understanding of the department				
	and its role in the community.	97.3	1.7		

Table VIII-III-49 (Continued) Task Profile of Chief Executive Occupation

Task No.a	Task Description	% Who do Task	Median amount of time spent on Task b		
15.	Testifies and speaks as agency representative at judicial proceedings, committee hearings, conferences and public gatherings.	86.5	1.5		
16.	Receives and imparts training in law enforcement and related disciplines.	89.2	1.5		
17.	Coordinates activities of police with government and community agencies in common or overlapping activities.	97.3	1.7		
18.	Prepares written directives and standard operating procedures for sensitive or major impact operations.	81.1	1.8		
19.	Receives and analyzes departmental crime and workload statistics and other indices of police effectiveness.	94.6	1.7		
20.	Conducts studies of and prepares position papers about phases of police department operations, which are ineffective, inefficient or under criticism.	75.7	1.4		
21.	Receives, investigates, reports and takes action on complaints concerning subordinates or departmental operations.	86.5	1.8		
22.	Monitors and spot checks operations and modifies procedures to correct deficiencies.	94.6	1.9		
23.	Enforces the law situationally, exercising discretion as to the most effective means of controlling or preventing the situation or resolving the problems.	64.9	1.4		
24.	Discusses and confers with investigators on special or sensitive criminal cases in order to direct and coordinate field investigations and provide general overall guidance and direction.	64.9	1.6		
(25.)	Provides supervision to immediate subordinates.				
(26.)	Implements action plans.				
(27.)	Approves licenses and permits (e.g., taxi, firearms, solicitor, etc.)				

Task numbers in parentheses denote tasks added by consultants during final occupational analysis conference.

b1 = A very small amount of time, 2 = a moderate amount of time, and 3 = a considerable amount of time.

Table VIII-III-50
Knowledge/Skill Profile of Chief Executive Occupation

								
		· · · · · · · · · · · · · · · · · · ·	Fiel	d Sam	ple	Con sult	ants	
	Kı	nowledges and Skills ¹	Median Job Re- quirement Level	Median Initial Proficiency Level	Difference	Consultant Adjusted Requirement Level	Future Requirement Level ²	Task Markers
Α.		ice Responsibilities and Environ- tal Relationships						
	d1.	the police history, role, mission, authority, and responsibility	3.2	2.6	•6	3		task l
	d2.	criminal justice system/ agencies/ relationships	3.2	2.4	.8	3.2		tasks 12, 17
	d3.	criminal/civil laws and legal procedures	2.9	2.7	•2	3		tasks 10, 23, 24
	c4.	legal issues and trends in law enforcement	3.1	2.5	•6	3.2		task 10
	d5.	citizen rights and processing of complaints	3.2	2.8	•4	3		task 21
	с6.	external pressure groups, radical groups, dissidents	3.0	2.2	.8	3.4		task 12
	d7.	contemporary social problems	2.9	2.4	• 5	2.8	3.0	task 1
Ġ	c8a.	police ethics	3.4	2.6	.8	3	3	task 16
_	:8ь.	civil liability	3.4	2.6	.8	3		tasks 10, 21
(d9a.	community needs and resources	3.3	2.3	1.0	3		tasks 1, 2, 17
	19b.	<pre>public policy and political con- siderations</pre>				3.4		tasks 1, 14, 17
В.	Orga	anization and Management					· .	
	d10.	leadership and supervision	3.6	2.8	.8	3	3.2	added task 25 and job pervasive
	d11.	police organization, administration and operations	3.5	2.9	.6	3	3.2	job pervasive
. (d12.	fiscal and budget management	3.1	2.0	1.1	2.8	3.0	tasks 1, 2, 7
_	d13.	police labor relations	3.0	1.8	1.2	2.8	3.0	tasks 4, 8
	d14.	planning and research	2.9	2.0	.9	2.8	3.0	tasks 2, 5a, 5b, 10, 11, 20

c and d = quad c and d knowledge/skill requirements respectively; e = requirements added by consultants

Blank cells signify no future changes expected.

Table VIII-III-50 (Continued) Knowledge/Skill Profile of Chief Executive Occupation

		Fiel	d Sam	ple	Con	n- ants	
K	nowledges and Skills ¹	Median Job Re- quirement Level	Median Initial Proficiency Level		ljusted Level	Future Requirement Level ²	Task Markers
c15.	decision-making	3.5	2.7	.8	3.2		task 2
d16.	management by objectives	3.1	1.9	1.2	2.6	3.0	tasks 1, 2, 3, 5 added task 26
d17.	motivation, morale, and police productivity	3.3	2.5	.8	2.6	3.0	task 8, added task 25
d18.	departmental goals and objectives	3.7	2.5	1.2	2.8	3.0	task 1
d19.	written and oral communications	3.4	2.4	1.0	2.6		task 12
d20.	personnel administration	3.2	2.4	.8	3	3.2	task 8
d21	human relations/group processes	3.3	2.3	.9	2.8		task 12
d22	needs assessment, resource alloca-intion and utilization	3.2	2.2	1.1	2.8		task 3
ь23	data processing and the use of computers in agency management and operations	2.2	1.6	.6	2.8		task 2
o Pol	ice Operations						
c24.	patrol administration, policies, procedures, techniques, problems	3.2	2.7	.5	3	•	job pervasive
c25.	criminal investigation policies, procedures, techniques and problems	2.9	2.6	.3	3		job pervasive
c26.	traffic supervision, safety, and accident investigation	2.8	2.3	.5	3		job pervasive
c27.	police tactical operations	2.8	2.4	.4	3		tasks 9, 18
c28.	crowd/riot control .	2.8	2.3	.5	3		tasks 9, 18
c29.	hostage and sniping situations	2.9	1.9	1.0	3		tasks 9, 18
c30.	crime strike/task forces	2.8	1.9	.9	3		tasks 10, 18
c31.	crime prevention (prevention of criminality	3.1	2.4	.7	2.8		task 10
c32.	criminal behavior	2.6	2.2	.4	2.6		job pervasive

Table VIII-III-50 (Continued)
Knowledge/Skill Profile of Chief Executive Occupation

****		Fiel	d Sam	ole	Cor sult		
ĸ	nowledges and Skills ¹	Median Job Re- quirement Level	Median Initial Proficiency Level	Difference	ljusted Level	ایدا	Task Markers
a33.	crime resistance techniques such as commercial, industrial, and residential security	2.3	1.9	.4	2.6	·	task 10
c34.	juvenile justice system and laws	2.8	2.1	. 7	3		job pervasive
c35.	prevention and control of juvenile delinquency	.2.8	2.1	.7	3		job pervasive
d36.	interviewing and eliciting infor- mation	2.9	2.5	•4	2.6		task 24
d37.	collecting, recording and analyz-ing information	3.0	2.5	ء5	3		tasks 6, 19
d38.	case reporting	2.9	2.6	.3	2.6		task 22
c39.	arrest and detention	2.7	2.6	.1	3		tasks 16, 22
a40.	hot pursuit	2.2	2.2	0	3		tasks 16, 22
c41.	use of physical force, lethal and non-lethal weapons	3.1	2.7	.4	3		tasks 16, 22, 23
D. Sta	aff Services						
d42.	police-community relations	3.1	2.5	.6	2.8		tasks 14, 15
d43.	police-news media relations and public information	3.5	2.3	1.2	2.6	3.0	task 13
c44.	legal advice/services	2.6	2.1	•5	2.6		task 12
d45.	training	3.0	2.4	.6	3		tasks 16, 22
E. Au	xiliary and Technical Services						
c46.	police communications	2.6	2.0	.6	2.8		task 22
d47.	police records and information systems	2.7	2.1	.6	2.8	3.0	tasks 6, 22
ъ48.	criminalistics/crime laboratory	2.2	1.7	•5	2.4	2.5	task 22
ъ49.	police supplies, equipment, and facilities	2.4	1.8	.6	2.8		task 22

Table 50 also identifies the task markers for the knowledge and skill requirements. Eight of these (items 10, 11, 24-26, 32, 34 and 35) are job pervasive, while the majority have one or more clearly identifiable task markers. The average number of task markers per knowledge/skill requirement is 1.4 which is roughly equivalent to that for the manager occupation (1.3). The tasks most often associated with a variety (4 or more) knowledge/skill requirements are abbreviated below with the number of requirements in parentheses (the identity of the requirements can be ascertained from Table 50):

- 22. Monitors operations (9)
 - 1. Formulates agency goals, etc. (7)
- 10. Plans police service methodology (7)
- 2. Plans operations (6)
- 12. Exchanges information on interpersonal or informal basis (5)
- 16. Receives and gives training (5)
- 18. Prepares directives and SOP's (4)
- c. <u>Training and Education Implications</u>. With regard to training emphasis, we have already noted that the most prominent tasks of the executive occupation involve planning, organizing, evaluating and fiscal management. We have also identified the tasks with the largest number of different knowledge/skill requirements. These tasks overlap somewhat with the other prominent tasks but also represent a greater proportion of planning activities.

With regard to any knowledge/skill deficiencies which might characterize the status of newly appointed executives, there are no deficiency values equal to or greater than our arbitrary standard of 1.5. The average deficiency value for all knowledge/skill requirements for this occupation is .7, a value less than those for the manager and first-line supervision occupations. There are several

knowledge/skill deficiencies with a value representing at least one scale unit difference between the median job requirement level and the median initial proficiency level, and these are singled out below:

- 9a. Community needs and resources
- 12. Fiscal and budget management
- 13. Police labor relations
- 16. Management by objectives
- 18. Departmental goals and objectives
- 19. Written and oral communications
- 22. Needs assessment, resource allocation and utilization
- 29. Hostage and sniping situations
- 43. Police-news media relations and public information.

Task oriented training and education data are fragmentary and very limited for this occupation. There were too few executives who reviewed tasks in order to judge the one best way to learn each or to provide difficulty level estimates (another measure of difficulty, of course, could be derived from the number of knowledge/skill requirements per task, but has not been done so here). There were, however, a sufficient number of executives who rated the sufficiency of training actually received and the most valuable of sources from which the executives actually learned to perform their tasks.

The percentage of executives who felt they received too little task oriented training ranged from 18% to 67%, with the average for all tasks being 28%. There was only one task (task 4) in which a majority (67%) felt there was too little training received. This particular task involves labor relations activities and it will be recalled that police labor relations (item 13) was one of the knowledge/skill requirements with a deficiency value greater than unity. With regard to the actual source of task learning judged most valuable, the

majority of executives indicated informal job experience for all tasks.

The same 10 tasks as in the mid-level manager profile have GED ratings suggestive of the desirability of a college course(s).

- d. <u>Future Outlook for Chief Executive Occupation</u>. The conclusion of the final occupational analysis conference was that no changes can realistically be expected to occur in the executive task profile during the next five years. Changes in emphases, however, are expected in knowledge/skill requirements during the next five years:
 - 7. Contemporary social problems There will probably be an increased awareness of social problems.
 - 10. Leadership and supervision There will be an improvement in the formal education of law enforcement personnel in this area.
 - 11. Police organization, administration and operations The same rationale applies as for number 10 above.
 - 12. Fiscal and budget management This is expected to increase as a result of the expected advent of program and zero budgeting.
 - 13. Police labor relations This is expected to increase as police unions continue to grow in number and activity.
 - 14. Planning and research There is an increasing nationwide emphasis on applied research in a wide variety of police activities.

- 16. Management by objectives This is expected to increase as executives become more accountable for agency efficiency and effectiveness.
- 17. Motivation, morale and police productivity There is increasing emphasis being placed by the public and government managers upon the productivity of public services.
- 19. Departmental goals and objectives As the need increases to be more sophisticated in management by objectives, so will the need increase in this area.
- 20. Personnel administration There is increasing awareness that personnel management and administration are central to the executive's job.
- 33. Crime resistance techniques There will probably be an increased emphasis placed on this area by police.
- 43. Police-news media relations and public information This is expected to increase in emphasis as a result of probable changes in federal and state legislation.
- 47. Police records and information systems An increased emphasis is expected to continue in computerized information systems.
- 48. Criminalistics (crime laboratory) An improvement in technology is expected to occur.

12. Summary Findings and Conclusions

Nine law enforcement occupations were selected for analysis as key occupations. Three of the occupations are relatively recent in origin; evidence technician/crime scene analyst, police planner and police legal advisor. The remaining six are the traditional ones in basic operations, line supervision, and management. The purpose of the occupational analyses was to generate task and knowledge/skill profiles which can then be compared against education and training programs. Projections about these profiles five years from now were also made to determine possible changes that will be needed in these programs to meet future requirements.

- a. <u>Summary Comparison of Nine Occupations</u>. Summary occupational analysis data for the nine occupations are compared in Table 51. We believe several conclusions can be drawn from these summary findings:
 - While generally three-fourths of the incumbents sampled in each of the occupations were satisfied with the sufficiency of job training received, several other findings summarized below suggest not all training or learning needs are being satisfactorily met (that one-fourth of the incumbents felt dissatisfied is perhaps itself some indication of such unmet needs).
 - The fact that special training was most often judged to be the best way to learn, whereas on-the-job experience was the actual source of learning judged most valuable, suggests either that training received was somewhat inadequate or was not received.
 - A number of knowledge/skill deficiencies apparently exist within law enforcement. The number, level, and content of these deficiencies varies by occupation. While our findings concerning these deficiencies are not derived from performance analysis or a comparison of actual training content and emphasis, with job knowledge/skill content and emphasis, we believe the deficiency measures warrant some attention.

Table VIII-III-51

Comparison of Summary Occupational Analysis Data on the Nine Key Law Enforcement Occupations

	# Tasks In Profile	% Dissatisfied with Sufficiency of Task Training	Most Valuable of Actual Task Learning Sources	Way Judged Best to Learn Tasks	Average Task Difficulty Level ^a	# Tasks With GED Ratings > 5	% Knowledge/ Skill Require- ments to be Emphasized	Deficier of Empha Requirer # 21.5	asized ce <u>n</u> cs ^b
D 1	37	25%			2.0	0	52%	12	
Patrol	37	25%	job exp.	spec. trng.	2.8	U	32%	12	1.2
Patrol Supervisor	47	26%	job exp.	spec. trng.	2.5	2	64%	7	1.3
Detective	42	26%	job exp.	spec. trng.	2.8	1	64%	14	1.3
Detective Superviso	r 47	23%	job exp.	spec. trng.	3.0	2	70%	9	1.2
Evidence Technician	20	34%	job exp.	spec. trng.	3.0	0	58%	10	1.4
Police Planner	19	23%	job exp.	spec. trng.	3.0	7	49%	6	1.3
Police Legal Adviso	r 21	18%	job exp.	no data	2.8	no data	62%	18	1.4
Middle Manager	26	27%	job exp.	spec trng.	3.1	10	92%	1	.9
Chief Executive	27	28%	job exp.	no data	no data	10	1002	0	.7

a Difficulty scale: 1 = not at all difficult; 2 = slightly difficult; 3 = moderately difficult; 4 = very difficult; 5 = most difficult

b Deficiency measure is the difference between five point scale ratings of initial proficiency level of assignee and level required for capable performance.

For those occupations in which entry level or initial job training is normally provided new assignees, the existence of deficiencies presumably represent learning needs which still remain following training. For the other occupations, these deficiencies presumably represent learning needs unaddressed, save perhaps by the incumbent who must rely on job experience.

- Of the nine occupations, the police legal advisor had the largest number of prominent knowledge/skill deficiencies (those ≥ 1.5 in value), even though most of the incumbents were satisfied with the sufficiency of training received. Many of the deficiencies involve lack of sufficient knowledge of police operations, policies and procedures. The implication is that the legal training of lawyers is not sufficient to prepare them in all aspects of their police legal work.
- Although the occupational analyses are not, per se, tantamount to a training needs assessment, one might tentatively regard as priorities those specific tasks with the greatest percentage of incumbents expressing dissatisfaction over training and/or those tasks which require emphasis of knowledge/skill requirements that incumbents appear to be the most deficient in.
- For all nine occupations, the findings suggest the value of a blend between special training and on-the-job experience. Several criteria were discussed for determining the relative emphasis of one over the other for given tasks.
- To learn most of the tasks in the basic and line supervision occupations, academic education (college courses) was generally not regarded as essential or highly desirable by the job experts (usually knowledgeable incumbents) in our samples. The GED ratings tend to corroborate their opinion. A noteworthy number of tasks in the planner, managerial and executive occupations have GED ratings which imply the desirability at least of some academic education (the police legal advisor occupation was excluded from this particular analysis).
- b. <u>Future Outlook--System Impact on Occupational Requirements</u>.

 Since they represent broad groupings of work within the public service field,
 the law enforcement occupations and their requirements are relatively stable
 compared to individual positions and even to job groupings of positions within

individual agencies. With the possible exception of the patrol occupation, few changes in task profiles are expected by our consultants to occur during the next five years. To varying degrees, changes in the knowledge profiles are expected to occur in all nine occupations. Almost all of these changes represent increases in emphasis of existing knowledge/skill requirements.

Possible system changes which we can discern today would appear to have the greatest potential impact upon the patrol officer occupation. There are certain activities such as team policing, civilianization and specialization that could alter the patrol officer occupation if they become established These activities are discussed elsewhere in this volume. of higher education is another factor which must be taken into consideration. Regardless of whether post secondary education can or cannot be justified as a minimum entry level requirement, the fact that there is an increasing proportion of recruits entering police work with some level of college education behind them is likely to shape the occupation of the future. If evidence mounts, for instance, that discontent, boredom, and turnover characterize the more educated patrol officer, there will be pressure to restructure the occupation. The less demanding tasks can be shredded out and assigned to paraprofessionals. This is already happening in some agencies, as is the creation of the police agent position, a parallel movement to professionalize the police officer of tomorrow. These changes appear likely to expand throughout the police field rather than the inconceivable scenario of discouraging or barring college educated applicants. Five years from now, the patrol occupation will still exist, and probably still predominate, but it is expected to be altered in ways to make room for the emerging occupations. These occupational changes will eventually have a reverse impact upon the system, particularly the personnel subsystem.

E. ANALYSIS OF THE PERSONNEL AND TRAINING IMPLICATIONS OF SELECTED POLICE TRENDS OR INNOVATIONS

One of the objectives of the NMS project is to assess the personnel and training implications of certain possible trends or innovations. In earlier sections within this chapter, we have discussed the implications of various developments in the police personnel system. In this section, we report on our field analysis of two other developments, innovative policing strategies and technological developments. Our field analysis approach consisted primarily of holding semistructured interviews, between one and two hours in length, with the cognizant official(s) of each development. While questions aimed at getting its description, history and future status were asked, the key questions inquired about the personnel and training effects.

1. Innovative Policing Strategies--Team Policing

The conventional policing strategy involves central command of the patrol and investigative operations. Only bureau commanders have around-the-clock responsibility for their operations. Patrol officers and their supervisors operate out of precinct stations on a shift by shift basis and are frequently rotated throughout the agency's total geographical jurisdiction. Patrol personnel are not responsible for investigating the crimes to which they respond. These officers take the initial reports and then resume their patrolling duties. The reports are turned over to the investigative bureau and assigned to detectives. The detectives operate out of this bureau on a shift by shift basis and work on their cases primarily independently of the patrol officers who initiated the reports.

This organizational mode of operation was generally characteristic of most of the 31 agencies visited. A substantially different organizational model, namely team policing, existed in only three of the agencies. A fourth agency was experimenting with team policing, and a fifth agency was due to implement this model full blown within a few months of our visit (four other agencies are contemplating team policing). A number of the other agencies were experimenting with or had implemented different changes in their strategies of policing. Since team policing represents the most marked policing innovation with potentially greater implications for future personnel and training needs, it is treated first and separately from the other strategies.

The actual organizational structure and mode of operation for team policing varies from agency to agency throughout the United States, and some of these variations were evident among the three agencies we visited which had fully implemented this strategy. As Sherman, Milton and Kelley observed in their case studies of seven other team policing agencies, there are certain basic features, both structural and functional, which distinguish these agencies from conventional agencies. 26 According to these investigators, there are three distinguishing operational elements of team policing; geographic stability of patrol, maximum interaction among team members, and maximum communication among team members and the community. These elements roughly characterize our three agencies. In addition, greater authority was delegated to lower ranks, and detectives were assigned with patrol officers to each team. While some specialization was retained at the bureau or division level, and not all authority obviously was delegated, it would be fair to say that the police teams in each agency visited approximated miniature police agencies attempting to provide a broad range of police services.

a. Manpower Implications of Team Policing. If a police agency completely reorganizes into a team policing mode of operation, what is the overall net effect of this change upon the agency's manpower requirements? In their study of team policing, Bloch and Specht conclude that it does not require more personnel than conventional methods²⁷. Our field analysis findings tend to corroborate their conclusion with some possible qualifications. In none of the three agencies visited did the changeover to team policing itself necessitate the hiring of more patrol officers. One of the reasons, as a matter of fact, for adopting team policing was an attempt to increase the level of services without increasing the staffing level.

In the larger agency, Agency C, however, it appeared that the reorganization itself may have increased the overall staffing level. In this agency, there was a one percent increase over the previous year's budget allotted for the hiring of civilian personnel to replace off-street officers who were being reassigned to patrol duty. We cannot be certain though that this increase can be solely attributed to team policing. It is possible that the expanded patrol operation was a result not of the planned changover, but a result of the agency's analysis of its workload in planning how to redistribute officers among the teams. Bloch and Specht also noted that "a careful review of an officer's workload may lead to a conclusion that—regardless of how a department is organized—it will need more personnel to operate effectively."²⁸

The medium sized agency, Agency B, also added six civilians, but these were temporary hires funded by CETA. The civilians were to be utilized as community service officers to help the teams in their community relations efforts.

An analysis of our narrative data from interviews with the police executives, patrol and investigative managers, and project officers of the three agencies also suggested that the overall impact of a change to team policing upon total personnel requirements had been negligible. A few of the patrol officials did point out that there is less staffing flexibility within the teams than there was within the larger parent units (precincts or divisions). Reduced flexibility may thus be more of a problem in team policing when a member of a relatively small unit is off duty because of illness or in-service training. When this happens, team managers must rely on coordination and cooperation among themselves.

Two of the three investigative managers interviewed seemed to believe that their capability for investigating major and other special crimes had deteriorated because of team policing. This feeling is certainly understandable since their staff levels had been considerably reduced by the transfers of up to one-half their detectives to the new teams, but data do not enable us to test whether team policing itself did indeed produce a deterioration. Theoretically, however, creating teams of patrol officers and detectives should relieve the residual staff of detectives of all their general investigative work, thereby allowing for more time to concentrate on major and other special cases.

According to Bloch and Specht, in agencies such as the ones we visited where teams comprise both patrol officers and detectives, the latter continue as specialists, conducting local investigations, providing on-the-job training to patrol officers, and presumably not sharing in patrol responsibilities. But the research literature does not provide a comparative task analysis of patrol officers and detectives in team policing and conventional agencies. As far as we know, the NMS project is the first opportunity to make some

limited comparisons because of the occupational analysis work that was done. The comparisons we shall present here are limited in two respects. First, the sample sizes are very small. Although over 150 patrol officer and 154 detective inventories were completed and returned from the 31 agencies visited, only four and three inventories for these positions respectively were available for comparison in a large municipal, team policing agency, and in its corresponding conventional agency (one roughly equal in size of sworn staff and of the same agency type). Secondly, and unfortunately, patrol officers and detectives did not complete identical inventories of tasks. A given inventory contained tasks more typically associated with either patrol or detective duties, but not both. Thus, while we can lookfor any differences which team policing might make in the relative amounts of time patrol officers spend on patrol tasks and detectives spend on detective tasks, we can only make some inferences about the extent of task overlap between the two position types.

The patrol-oriented tasks on which team patrol officers either spend more or less time relative to conventional patrol officers are identified in Table VIII-III-52. We have two observations to make here about these task differences. First, in observing that less time is spent in the team policing agency on the first three tasks in Table VIII-III-52, tasks which are predominantly patrol-oriented, we infer that team patrol officers are spending some of their remaining time on investigative work. Second, another distinction between the two agencies is that a small amount of team patrol officers' time is spent on supervisory tasks; whereas these tasks are not part of the composite patrol officer profile in the conventional agency. Thus, reorganizaing a patrol bureau into a number of smaller groups means team officers share more of the supervisory responsibilities.

Table VIII-III-52

Tasks which Differentiate Patrol Officers in a Team Policing and Conventional Agency^{a,b}

	Task Description	Team Policing	Conven- tional
1	Familiarizes self with assigned patrol area and its citizens, businesses and crime problems, and identifies potential trouble spots.	i B	C
4.	Interviews suspects, complainants, witnesses, and victims to gain information on current or unresolved cases.	В	C ₁
12	Enforces law situationally exercising judgment and discretion as to the most effective means for controlling or resolving problems.	В	c c
24	Makes castings of foot and tire prints, tool marks and other impressions at crime scene.	A	
28	Reports periodic and daily activities verbally and in writing to supervisor.	С	В
29	Participates in staff meetings and conferences	. A	-
30	Operates voice radio equipment to receive and give information.	С	В
33	Records field actions and observations in note- book and transposes information into formal report of crimes, accidents, or other activities and action taken.	- В	С
34	Receives, reviews, revises, and forwards reports and files on daily activities, crime, accidents, and other incidents.	A	
35	Prepares, reviews, approves, and forwards summary and statistical reports on crime and police activity.	A	
36	Inspects police personnel and equipment for conformance to regulations.	A	· · · · · · · · · · · · · · · · · · ·
37	Assigns police and related personnel to duty.	A	-

Table VIII-III-52 (Con't)

Tasks which Differentiate Patrol Officers in a Team Policing and Conventional Agency^{a,b}

	Task Description	Team Policing	Conven- tional
38	Monitors, supervises, and schedules police operations and personnel.	A	<u>+</u>
39	Receives, investigates reports and takes action on complaints against police personnel or unit operations.	A	
40	Plans, organizes, and staffs unit operations utilizing available resources.	A	_
41	Performs personnel and administrative actions such as hearing grievances, evaluating job performance, taking disciplinary action, recommending awards, approving promotions, approving directives, and counseling subordinate personnel.	A	

a Comparisons are based on composite profiles of four patrol officers' task inventories in each of two large municipal agencies.

b A denotes a very small amount of time spent on task, B denotes a moderate amount of time spent on task, C denotes a considerable amount of time spent on task, and a dash indicates the task is not part of the composite job profile.

The detective-oriented tasks on which team detectives either spend more or less time relative to conventional agency detectives are identified in Table VIII-III-53. An examination of the task content suggests that team detectives tend to spend less of their time relative to their conventional agency counterparts on investigative-oriented tasks and perhaps more time on patrol-oriented tasks. This observation is supported by the fortuitous circumstance of one detective in the team policing agency who inadvertently was given the patrol-oriented task inventory. An examination of this officers' task profile (not represented in either Table 52 or 53) indicated that he was spending a moderate amount of his time on patrol-oriented tasks.

As limited as our comparative task analysis has been, we can still conclude that one definite effect of team policing is to blur the distinction between the patrol and detective occupations, even in agencies where teams comprise both occupations rather than only patrol officers trained to be generalists-specialists. It is apparent that detectives do share certain patrol responsibilities in addition to their other team duties. Adoption of team policing obviously requires a reanalysis of tasks, and this will undoubtedly lead to a reclassification of patrol officer positions and detective positions (the same need for reanalysis applies to supervisory and middle manager positions, but time does not permit a comparative analysis of our task data for these positions).

A recent study indicates that patrol officer activities at the crime scene accounts for most of the crimes that are solved. If there is any validity to this finding, and if team policing becomes an established trend, it is likely that the criminal investigative function will be deemphasized. Conceivably, there might thus be a need for fewer detectives in the future.

Table VIII-III-53

Tasks which Differentiate Detectives in a Team Policing and Conventional Agency 1,2

	Task Description	Team Policing	Conven- tional
3	Reads, reviews, and evaluates crime investigation report and related material on cases.	В	c
6	Receives, inventories, stores, issues, accounts for and disposes of physical evidence of crime.		В
12	Enforces law situationally, exercising judgment and discretion as to most effective means for controlling or resolving problems.	В	A
13	Assists people with problems or refers them to public service agencies.	В	A
16	Arrests, searches, and secures suspects and fugitives.	C	A
17	Informs arrested persons and suspects of legal rights.	С	В
18	Uses physical force and protective equipment such as revolver, baton, handcuffs, shot gun and tear gas when necessary to subdue resistance prevent escape, or protect self or public.	e, B	A
19	Discusses charge and circumstances of arrest with arresting officer to insure they are in accord with law and department policy.	С	В
21	Conceives, plans, and recommends improvements, innovations, and changes in department policies, objectives, and procedures for coping with crime or providing public service.		
28	Recruits informants on criminal activity and solicits information from them.	c	A
29	Reports periodic and daily activities verbally and in writing to supervisor.	C	В

Table VIII-III-53 (Con't)

Tasks which Differentiate Detectives in a Team Policing and Conventional Agency $^{\!1,2}$

	Task Description	Team Policing	Conven- tional
31	Prepares "wanted" advisories for distribution to other officers and agencies.	A	В
34	Prepares and submits requests, and supporting affadavits and documents for arrest and search warrants.	В	A
36	Receives, reviews, revises, and forwards reports and files on daily activities, crime, accidents, and other incidents.	A	В
37	Prepares formal charges on suspects.	C	A
49	Testifies at judicial proceedings.	В	A

Comparisons are based on composite profiles of three detectives' task inventories in each of two large municipal agencies.

² A denotes a very small amount of time spent on task, B denotes a moderate amount of time spent on task, C denotes a considerable amount of time spent on task, and a dash indicates the task is not part of the composite job profile.

We attempted to determine whether there were any workload or staffing characteristics in addition to the redistribution of detectives which would consistently distinguish our three team policing agencies. For each team policing agency, we selected an agency visited which was roughly equal in size of sworn staff and of the same type of agency. Each agency had been asked to provide a variety of the most current year-end statistics, including offenses reported, arrests made, calls for service, number of functional responsibilities, staffing strength and population census. The available statistics were used to develop indices of workload and staffing patterns, and these are included among the characteristics presented in Table VIII-III-54.

While there are a few inconsistencies among the pattern of characteristics to be noted in Table VIII-III-54, certain observations can nevertheless be made about these particular comparisons:

- Workload, whether measured by calls for service, number of reported offenses, or number of functional responsibilities is higher for two of the three team policing agencies (although the particular agencies differ depending on which index is used).
- The number of sworn personnel per 1,000 population is higher for all three team policing agencies.
- The proportion of sworn personnel of the total staff is lower in two of the three team policing agencies.
- If the proportion of arrests to offenses can be considered as one measure of effectiveness, then only one of the conventional agencies appears to be as effective as its counterpart.
- The ratio of patrol officers to detectives is higher in two of the three team policing agencies.
- The adequacy of the agency's staffing level as assessed by its chief is higher for all three team policing agencies.

Table VIII-III-54

Workload, Staffing, and Selected Other Characteristics of Three Team Policing Agencies and Three Conventionally Organized Agencies

	Small City Agencies A			edium Size ty Agencies B	Large City Agencies C		
Characteristic	Team	Conventional	Team	Conventional	Team	Conventional	
Calls for Service/Total Sworn	414	383	332	422	392	216	
Part I Offenses/Total Sworna	43.4	8.2	50.3	30.2	42.4	58.0	
Part I Arrests/I Offensesa	.32	.17	.14	.09	.13	.14	
Number of Functions ^b	12	10	11	16	13	11	
Total Sworn/Population	2.25	1.02	1.29	.51	2.20	1.91	
Total Sworn/Total Staff	.67	.83	.76	.90	.83	.80	
Patrol Officers/Detectives	12.0	7.0	8.3	8.8	4.7	2.0	
Adequacy of Staffing Level:C	ab	a b	a b	a b	a b	a b	
Chief's Assessment	+,+	-,-	-,+	-,-	+,+	-,+	
Patrol Manager's Assessment	-,+	NA	-,+	-,-	+,+	-,+	
Detective Manager's Assessment	-,+	NA	-,-	*	-,-	~,+	

a Part II Offense data not available for all agencies represented here.

where

b Number of different functional responsibilities of agency.

c a-, b- critical shortage of sworn personnel

a-, b+ inadequate staffing level

a+, b+ adequate staffing level

a+ means adequate staffing level

a- means inadequate staffing level

b+ means no deterioration or cutback in services

b- means deterioration or cutback in services

- There is as much agreement as disagreement between police chiefs and their managers over these assessments of staffing adequacy. Where there is disagreement, there appears to be a slight tendency for detective managers in the team policing agencies to view their staffing levels as less adequate.
- b. <u>In-service Training Implications of Team Policing</u>. If minor changes in standard police operating procedures are likely to necessitate at least a limited form of roll call training, then it stands to reason that a policing innovation which markedly alters basic operations will require substantial new learning and adaptation.

The immediate effect upon the training needs of an agency planning to adopt the team policing model is naturally in the in-service training area. In their handbook on team policing, Bloch and Specht report on their survey of nine team policing agencies (not including the three agencies we visited). The amount of in-service training given, the training content, and the personnel trained varied considerably among these nine agencies. Surprisingly, there were two agencies where apparently no training whatsoever was given. Bloch and Specht specify the administrative elements of what they believe would be an "ideal city" team policing organization. With regard to training, these authors recommend "extensive training for supervisors and patrolmen."

Elsewhere in their handbook, these authors list some of the specific management skills which they believe are uniquely required of the team mode of operation and further state that different leadership skills are needed (how to handle the authority and responsibility that has been delegated).

The NMS field analysis and occupational analyses enable us to add a substantial wealth of more detailed data and knowledge on both in-service and recruit training needs, even though most of our observations are based on only three team policing agencies and comparisons with their conventional

counterparts. We shall begin first with our analyses and observations concerning the impact of team policing upon in-service training. Our data set consisted of interview responses, budgetary information where available, training hours and topic descriptions where available, project reports, and profiles of skill and knowledge requirements from our occupational analyses.

At the time of our visit to the small team policing agency, it had been operating in this new mode for slightly over six months. In preparing for and implementing team policing, this agency had relied heavily on informal on-the-job training. The two detectives in the agency, for example, would show patrol officers how to do criminal investigations. These two detectives, as a matter of fact, were instrumental in the whole operation. Had they wanted to, they could have torpedoed it. It was the police chief's opinion that his reorganization would require more in-service training in managementby-objectives for the team leaders and assistants and community relations training for all officers. He felt there was a critical need for sending patrol officers away for formal training in criminal investigations, yet the team policing schedule made it more difficult to break officers away from street duty for the required amount of training time, not only for that critical need, but for any other subject area as well. The team leaders expressed a need for supervisory training for themselves and a need for formalized training of team officers in evidence collection.

In sharp contrast to the level of training expended in the small municipal agency stands the medium sized county agency. Indeed, assuming for the moment that the latter agency's total in-service training program was really needed and job relevant, we would perhaps have a better estimate of the true level of effort required. This agency was able to support this level through a federal grant. Nearly 15 percent of its grant budget was allocated for

several thousand manhours of in-service training for team policing. Prior to starting up and during the first year of its team operation, therefore, this agency has undertaken a massive training program. Prior to implementation, for example, all six teams were sent on a one-week retreat to develop a better understanding of the principles and techniques of team policing and to acquire experience in group decision making, group process training, and group goal setting. There was considerable management training, too. For example, during one month at the start-up period, all captains and team managers attended a three-day seminar at a local university to learn goal setting, programmed budgeting, and other management skills felt necessary for the changeover. Later on, all sergeants, several lieutenants, and related officers from each team attended an advanced management training seminar for a full week.

We turn next to the in-service training consequences of the team policing reorganization of the large municipal agency. This agency had been experimenting with team policing for a number of years before fully implementing it about seven months prior to our field visit. The long trial period may explain to some extent why there seemed to be a relatively low level of inservice training activity undertaken to start up team policing full scale. According to the planning office, specialists had been brought in from outside to give team officers training in basic photography and fingerprinting. According to the patrol commander, implementation of team policing required between two and four days of in-service training for all officers in the patrol division and all detectives transferred to the patrol division (agency documentation of the content of this training was not available).

In an attempt to provide more information about the specific impact of team policing upon in-service training needs within a large agency, we briefly report here our findings from the field visit to a fourth agency which at the beginning of 1975 had initiated a team policing program on an experimental basis in one of its districts. In this agency, detectives were not assigned to the team; rather, patrol officers were utilized as generalist-specialists. Prior to team operation, therefore, 40 hours of investigative training was given to those personnel (presumably most of them) who had never had that training before. Secondly, a 40-hour course on human relations and sensitivity training was given to team personnel. Finally, each team member was given 16 hours of crime scene processing and techniques. This agency, which regards itself as being heavily committed to training regardless of the particular mode of patrol operation, plans to continue team policing, but not necessarily in the same form it was originally designed.

Independently of the interview data, another assessment of the impact of team policing upon in-service training needs can be made from our occupational analyses. If task profiles in a team policing agency and a conventional agency differ, as our compatative task analyses reported above suggest is the case, then the skills and knowledges required to perform these tasks should also differ. It will be recalled that knowledge checklists were left with each visited agency to be completed and returned. As with the task checklist data, unfortunately, our sample sizes are extremely small for a given occupational category within a given police agency, and in some instances no knowledge checklist data are available for a given position in a given agency. Therefore, the comparisons to be discussed below should be regarded as suggestive.

In Table VIII-III-55 are presented the investigative skill and knowledge requirements for the patrol officer's position in the large team policing

Table VIII-III-55 Investigative Skill and Knowledge Requirements for a Patrol Officer in a Large Team Policing Agency and for a Detective in a Large Conventional Policing Agency^a

	Team Patrol Officer Conventional Dete						l Detective
C. Police Operations Conduct of investigations:	Level Required for Capable Performance	Typical Level of New Assignee	Difference = Training Need		Level Required for Capable Performance	Typical Level of New Assignee	Difference = Training Need
1. preliminary investigations	4	3	. 1		_ 4	3	1
2. techniques for identification of lost/stolen items	4	2	2		3	2	1
3. interviewing and eliciting information	4	3	1		4	2	2
4. collecting, recording, analyzing information	4	2	2		4	2	2
5. information sources and informants.	4	3	1		4	2	2
6. visual and audio surveillance	3	2	1		3	1	2
7. field testing for intoxication or use of drugs	2	2	0		1	2	-
8. operation of breathalyzer	1	1	0		1	2	-
9. Investigation of specific crimes; e.g., arson, burglary, rape, crime	4	3	1		4	1	3
10. preparation of clear, concise reports	4	2	2		1	3	

aLevel codes: 4 = Expert; 3 = High; 2 = Moderate; 1 = Slight .

agency (C) and for the detective's position in the large conventional policing agency (C). The requirements for either position are based on the judgements of a job expert in each agency who rated the specific position appropriate for his agency.

The comparison of the two sets of knowledge requirements is revealing and seems to confirm the fact that a team patrol officer must know as much about investigative matters as does a detective in a conventional agency. The level of knowledge required is the same whether preliminary investigations or specialized investigations is the subject. The comparison lends weight to our earlier inference that patrol officers in teams are spending some of their time on investigative work.

Another revealing comparison is presented in Table VIII-III-56. Two other skill and knowledge subject areas were selected from the knowledge check-list data to compare patrol officers in the team policing agencies and in the conventional policing agencies. These subject areas were community needs/ resources and police/community relations, and they were selected because team policing purportedly accentuates the need to be knowledgeable in these areas. Contrary to what might be expected, therefore, we find that with the possible exception of the small agency, the need to be knowledgeable in these three subject areas is really no more important in team policing than in conventional policing. This comes as no surprise to us, however. There is no reason that we can see why any patrol officer, whatever the geographical boundaries of his operation—whether it be within the confines of a neighborhood or with—in a larger patrol district—should not be familiar with the community and how to relate to it. It is probably even more difficult for the conventional police officer because of operating in a larger geographical area.

Table VIII-III-56

Skill and Knowledge Requirements in Two Selected Subject Areas for Patrol Officer Positions in Team Policing and Conventional Policing Agencies of Three Different Sizes a,b,c

Subject Area	Agency Size	Level Required for Capable Performance		Typical Level of New Assignee		Difference = Training Need	
		T	C	T	C	T	С
	SMALL	3	2	1	1	2	1
Community Needs/ Resources	MEDIUM	. 2	(2)	2	(1)	0	(1)
nessures.	LARGE	2	(2)	1	(1)	1	(1)
	SMALL	3	1	2	0	1	1
Police/Community Relations	MEDIUM	2	(2)	2	(1)	0	1
	LARGE	2	(2)	2	(1)	0	(1)

^aLevel codes: 3 = high, 2 = moderate, 1 = slight, 0 = none

^bFigures in parentheses are total sample composites; checklist data were not returned in the specific conventional agencies used in other comparisons. All other figures based on single job expert ratings.

 $^{^{}C}T = team; C = conventional$

In team policing, authority as supposedly delegated within limits to lower levels in the hierarchy. Patrol sergeants in teams, therefore, presumably would be expected to know more about certain supervisory and management principles and techniques than in counterpart officers in conventional policing agencies. We have compared the skill and knowledge requirements in four selected supervisory and management subject areas for team and conventional patrol sergeants. These comparisons are presented in Table VIII-III-57. Overall, we see that team patrol sergeants are not expected to know more than their counterparts about planning, decision-making, and other supervisory and management principles and techniques (the somewhat higher requirement levels for the conventional patrol sergeant's position shown in Table VIII-III-57 are probably due to single rater bias; ratings of the patrol sergeant's position based on the total sample composite, but not shown in this table, are lower and more similar to the team patrol sergeant position ratings shown). This finding may indicate that middle level managers in team policing agencies need to learn how to delegate authority. Unfortunately, time does not permit a comparative analysis of skill and knowledge requirement data for middle level managers in team and conventional policing agencies.

c. Recruit Training Implications of Team Policing. Since most, if not all, new recruits following graduation from an academy are first assigned to patrol, team policing requirements must be reflected in the curriculum of the academy. From what we have already learned, it would seem that the greatest change required in the recruit curriculum would be for heavier emphasis on criminal investigations.

Referring to our interview data, we find that in the small agency, team policing was such a recent innovation that no changes had taken place in

Table VII-III-57

Skill and Knowledge Requirements in Four Selected Subject Areas for Patrol Sergeants in Team Policing and Conventional Policing Agencies of Three Different Sizes^a,b,c

Subject Area	Agency Size	Level Required for Capable Performance		Typical Level of New Assignee		Difference = Training Need		
		Т	С	Т	С	Т	С	
	SMALL	NA	3	NA	2	NA	1	
Planning/Decision Making	MEDIUM	3	4	1	2	2	2	
HORZING	LARGE	2	4	2	1	0	3	
	SMALL	NA	3	NA	2	NA	1	
Department Goals/ Objectives	MEDIUM	2	4	2	0	0	4	
objectives	LARGE	4	4	2	1	2	3	
	SMALL	NA	3	NA	3	NA	0	
Leadership/Super- vision	MEDIUM	3	4	1	2	2	2	
VISION	LARGE	2	3	1	1	1	2	
	SMALL	NA NA	3	NA .	3	NA	0	
Human Relations/ Group Processes	MEDIUM	2	4	1	1	1	3	
oroup troccoods	LARGE	2	4	1	1	1	3	

a Level codes: 4 = expert, 3 = high, 2 = moderate, 1 = slight, 0 = none

b Figures are based on single job expert ratings.

c T = team; C = conventional

either the content or length of the recruit curriculum. Most of the agency's concern at the time of our visit was over in-service training needs. The chief of police did express concern over the general problem of regionalized recruit training programs which do not meet the specific needs of a local police agency. The team leaders expressed dissatisfaction over what they regarded as inadequate training in evidence collection in the current recruit curriculum. The training officer stated there were no plans to change the recruit training program. From our interview data, therefore, it is perhaps not inaccurate to conclude that this agency had yet to articulate its plans concerning future recruit training needs as a result of its team policing operation. On the other hand, it is only fair to recognize that a small agency's influence upon an outside recruit academy may be severely limited or negligible if there are few or no other team policing agencies participating in the program.

Like the small agency just described, the medium sized agency's team policing operation was relatively new, recruits are sent to a regionalized academy, and no articulated thoughts or plans were expressed to the interviewer over future changes in the recruit programs as a result of the new policing strategy. This agency is facing a possible retrenchment, and it may be sometime in the future before any new police officers are hired.

In the large agency visited, it will be recalled, team policing had been a trial operation for several years prior to full implementation. While this agency has thus had more time to consider changes in its recruit curriculum, the agency no longer operates its own academy. At about the time team policing was fully implemented, the agency joined a regionalized community-college based recruit training program. The program serves this agency and approximately 16 other agencies in the region. According to a program

representative, the regionalized curriculum cannot be oriented toward a team policing agency because most, if not all of the agencies are conventional policing agencies.

We have reviewed the recruit curriculum used by this particular agency the last year it operated its own academy and the new, regionalized curriculum now used by this agency and the other participating agencies of the region. We have also compared several selected topics from these curricula with the corresponding topics from the curriculum of a conventional policing agency (the same control agency used for the earlier comparisons) and from the curriculum mandated as a minimum one for police agencies located in the same state as the team policing agency. The topics selected for comparison were those which one might expect to be more heavily emphasized in a team policing agency; namely, criminal investigations, community relations and crime prevention. These comparisons are presented in Table VIII-III-58.

We note in Table VIII-III-58 that the amount of time devoted to instruction in criminal investigations is essentially the same for the old and new curriculum used by the team policing agency. According to the spokesman from the regionalized academy, the goal of its program is to provide minimal investigative skills to all participating recruits. It is interesting to note that the conventional agency gives over one and one-half as many hours of instruction in criminal investigations as does the academy for the team policing agency. It is also interesting to note that the state's mandate of minimum instruction in criminal investigations covers almost the same number of hours as for the team policing agency located in that state.

We also note in Table VIII-III-58, that the number of hours devoted to community relations is about the same for all curricula (although there

Table VIII-III-58

Number of Classroom Hours for Selected Topic Categories of Recruit Curricula for a Large Team Policing Agency, Large Conventional Policing Agency and for a State Mandated Course

	Team Policing ^a						State ,	
	Pre	Pos	st	Convent	ional_	Mini	Lmum ^b	
Criminal Investigations ^C	47 (9%	(a) 44	(9%)	75	(10%)	42	(18%)	
Community Relations ^d	10 (2%	(a) 6	(1%)	4	(1/2%)	4	(2%)	
Crime Prevention ^e	_	-		3		_		
Total Classroom Hours f	520	480		720	-	240		

^aPre and post refer to recruit curriculum before and after team policing was institutionalized by this agency.

The mandated minimum is for agencies in the state in which the team policing agency is located.

^cIncludes both techniques, principles and laws.

d Includes only topics specifically titled as community relations or community resources.

e Includes only topics specifically titled as crime prevention.

fEstimated at 8 hours per day of instruction.

appears to be a slight deemphasis in the regionalized curriculum compared to the team policing agency's old curriculum). Finally, we note that crime prevention is a specific topic of investigation only in the conventional agency's curriculum.

There is considerable subjectivity involved in classifying curriculum topics based solely on their title descriptions. We cannot, at this time, offer any of our own assessments as to whether the amount of time devoted to the selected topic areas is adequate or inadequate. If 45 hours is taken as the minimum level needed to provide instruction in basic investigative skills, as the regional academy spokesman implied, then all of the agencies represented in Table VIII-III-58 essentially meet or exceed that minimum. Why the conventional curriculum considerably exceeds this number is not clear to us. Whether the regionalized academy will meet the criminal investigation training requirements of the team policing agency remains to be seen. As for the other two topics, we can only comment here that the number of hours given to them seems low regardless of the agency involved.

d. Educational Implications of Team Policing. None of the three team policing agencies visited had raised or were planning to raise their minimum entry level education requirement because of their new mode of operation. Two of the three agencies currently require a high school diploma or equivalent, and the third agency requires a higher entrance level of education (to be more specific would risk losing agency anonymity). All three agencies tend to encourage and facilitate continued education through their personnel policies somewhat more than do conventional agencies of corresponding type and size. In two of the three agencies, the opinion was expressed

that team policing was more suitable for agencies in which officers at all levels have more than the typical level of college education. In one of these two agencies, it was said that their more college educated officers took a more objective, analytical and constructively critical view of the agency's concept of and plans for team policing. In this particular agency, however, the more college educated officers were also the younger and lower level officers. Age and rank thus probably helped to account for some of the observed difference in reaction to the agency's plans.

Just as we cannot establish definitively from NMS data what the minimum levels of college education should be for recruits and for police officers at other ranks and levels within the conventional policing agency, so we obviously cannot for the team policing agency. But we can observe that team policing has been adopted and appears to be operating satisfactorily in a large agency which neither requires any college education of its recruits nor has any more of a college educated sworn force overall than does the typical agency visited.

2. Other Innovative Policing Strategies

Our inquiry about an agency's position within the last three years regarding innovative policing strategies evoked a variety of responses. This is not surprising considering our broad definition of such a strategy.

Agencies' responses to this inquiry are itemized and grouped into three categories in Table VIII-III-59. The status of these categorized innovations among the agencies is depicted in Table VIII-III-60. Since we have already dealt with team policing, it is not represented in either table.

As can be noted in Table VIII-III-59, the majority of the innovative strategies are geared to specific crimes, but there are also a number of

Table VIII-III-59

Innovative Policing Strategies other than Team Policing Planned or Underway in the 31 Agencies Visited^a

General Policing Strategies

Community based patrol

Community officer program

Community oriented policing (neighborhood watch)

Expanded public involvement in crime prevention

Storefront cops

Neighborhood - officer - interaction team

Decentralization of general assignment detectives

All female police sector

Community services support

Patrol emphasis project

Crime Specific Strategies

Breaking and entering strike team

Tactical patrol team

Special crime attack teams

High crime response team

Burglary reporting and neutralization detail

Special burglary investigations unit

Crime specific task force

Anti-crime unit (formerly tactical, uses crime analysis)

Robbery suppression unit (tactical units in unmarked cars)

Crime impact program (expansion of tactical deployment)

Intensive investigation of selected impact crimes

Anti-commercial robbery project

Agency respondents were free to designate any changes in their policing strategies as innovative. Some strategies may not be commonly thought of as a bonafide innovation, but may be at least a change which should be examined for their manpower implications.

CONTINUED

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Table VIII-III-59 (continued)

Anti-burglary project
Regionalized traffic enforcement
Multi-jurisdictional anti-burglary teams

Technologically Oriented Strategies

Effective air to ground law enforcement Resource allocation study Patrol bikes

TABLE VIII-III-60 Status of Innovative Policing Strategies other than Team Policing in the 31 Agencies Visited

		Agen	cies by Size	
Innovative Policing Category	Status in Agency	Small (N=7)	Medium (N-14)	Large (N=10)
General Policing Strategies	Not Relevant Desired Planned Exists	6 (86%) 1 (14%) - -	4 (29%) 1 (7%) 2 (14%) 7 (50%)	2 (20%) 2 (20%) 2 (20%) 4 (40%)
Crime Specific Strategies	Not ReLevant Desired Planned Exists	7 (100%) - - -	7 (50%) - 2 (14%) 5 (36%)	2 (20%) - - 8 (80%)
Technologically Oriented Strategies	Not Relevant Desired Planned Exists	7 (100%) - - -	13 (93%) - 1 (7%) -	8 (80%) - - 2 (20%)
All three Categories Combined	Not Relevant Desired Planned Exists	6 (86%) 1 (14%) - -	3 (22%) - 2 (14%) 9 (64%)	1 (10%) 1 (10%) 1 (10%) 7 (70%)

policing strategies. Only three of the 28 strategies mentioned to us were technologically oriented. From Table VIII-III-60 it can be observed that the type of strategy is somewhat related to the size of the agency. Technologically oriented strategies are unique to the large agencies, crime specific strategies predominate in large agencies, and general policing strategies are somewhat more characteristic of medium sized agencies. This is an understandable relationship since specialization and technology development typify larger organizations in our society. From Table VIII-III-60 it can also be observed that innovativeness is associated more with the large agencies (although it must be remembered that two of the seven small agencies had demonstrated substantial innovativeness by adopting or preparing to adopt team policing).

Several of these innovative policing projects and proposals, especially the larger ones, were or will be funded to a large degree by outside grants. This financial underwriting helps account for several field observations. First, independent of whatever the desire or need for trying new policing strategies small agencies may have, they tend to have limited, if any, capability to prepare grant applications. Second, as there are different grant programs for support of either specialized or generalized policing projects, it is possible for a local police agency to have or seek one or more of each and this can lead to conflicting strategies. Third, the availability of outside funds is an opportunity for local police agencies to expand their manpower resources through increased overtime monies and/or positions and their level of training effort. The manpower increments from a grant often outlast the life of the grant since the local government is unlikely to fire the acquired personnel. The training increments always outlast the life of the grant (up to limits imposed by forgetting and obsolescence) since

training effects cannot be withdrawn, and there is also the multiplier effect of trained personnel subsequently "training' other personnel. Fourth, the external stimulation and reinforcement of grant programs can lead to both system "tinkering" and overload, as well as a few exemplary projects. In one of the agencies visited, it appeared that there was an excessive number of grant projects, and the chief was attempting to sort out the tinkering from the meaningful experiments.

Manpower and Training Implications of Other Innovative a. Policing Strategies: Abstracted Cases. Time does not permit us to analyze these strategies as extensively as we were able to do for team policing. Fortunately, the latter justified it, whereas the manpower and training implications of some of the other projects are negligible or minimal. For instance, one project entitled "community officer program" involved a county agency assigning one of its officers full time to an underserved portion of the county. A medium sized agency had initially staffed a new neighborhood watch program with existing patrol officers and a civilian hired as a full time community education specialist. Voluntary auxilliary police have since replaced the patrol officers in the program. Several of the crime specific strategies required no additional personnel or training, but were operated instead by reallocating existing personnel. For example, a large municipal agency formed robbery suppression teams from detectives who were formerly rob ery investigators in the central investigative division. A small municipal agency formed a crime impact team to investiga e the more serious offenses and to act as a backup for regular units. Existing personnel resources were used and no training was required. Detectives worked with uniformed officers, and an informal cross training effect was assumed. This strategy thus

contains an element of team policing, bringing patrol officers and detectives into closer working relationships.

From our review of the available information on the nearly 30 innovative policing projects and plans represented in Table VIII-III-59, it appears to us that over one-half of them have no noteworthy effect upon the agencies' manpower and training needs. There does appear to be an effect to varying degrees in the remaining projects, and where the available information has been sufficient enough to do so, we have abstracted the salient and relevant elements.

- (1) A large municipal agency recently applied for a grant to start a patrol emphasis project. The objective is to broaden the capabilities of the patrol force rather than to rely unduly on specialized tactical and investigative units. This agency already has a grant which fostered such specialization, but now believes more attention should be given to making generalist patrol officers more effective. The proposed project would consolidate the support functions of intelligence, crime prevention and crime analysis into one unit. This unit would then be a training, intelligence and operational resource for the patrol division. The grant would increase the agency's authorized strength by 14 positions. Patrol officers would be given in-service training in how to use crime analysis information after the crime analysis staff had been trained. Patrol officers would also receive instruction in crime prevention techniques from seven officers who had already attended a crime prevention training program.
- (2) A large municipal agency is in the third year of a grant project to conduct intensive follow-up investigations of all business burglaries and robberies. Personnel and equipment funded by the grant were decentralized to four patrol units. The personnel were primarily detectives

who were given responsibility for intensively investigating, interrogating and processing all arrested suspects for the two special crime categories. The personnel cost component of the budget was over three quarters of a million dollars. There was no training cost component for the third year phase of the grant. The personnel had obviously received whatever special training was necessary in the first and possibly second years of the grant (we were not able to review the complete file on this project).

- The same large municipal agency is also continuing a fourth year grant project to develop effective policing methods against special impact offenses of murder, rape, robbery, burglary and assault. There were 115 police officers hired during the first year of the four year period. These personnel are assigned to the tactical unit and continue to devote full time to impact offenses. When hired, officers were, of course, given basic training. As newly trained recruits were assigned to the tactical unit, the experienced crime team officers were distributed to new teams as soon as supervisors were acquired. This process continued with an equal number of new and experienced officers forming new teams until the full complement of authorized personnel was assigned to the tactical unit. This total process covered a longer period of time than anticipated because the agency had difficulty recruiting so many new personnel in such a short time. Additionally, all crime team officers were sent to various specialized training schools. These included crime scene search, investigations, interview and interrogation, surveillance and intelligence, crime control schools and several burglary and robbery conferences. Officers who were assigned the new recruits also attended the agency's field training officer school.
- (4) The same large municipal agency is also continuing a two year grant project to expand community involvement in crime prevention. Six

new civilian community service workers were hired to work with six existing police officers as a 12 member, full-time community awareness team. Another community service worker coordinates the efforts of this team with a support project, and another civilian information specialist directs a related media project. A lieutenant oversees the grant project. The most noteworthy training component involved the sending of 132 police officers to Dale Carnegie courses.

- vention oriented project using no outside funds. The team consists of eight sworn personnel and one civilian crossing guard coordinator. The team provides back-up patrol service, but its primary function is to educate and assist the public in crime prevention. Several of the team members received specialized training in crime prevention at a national institute. Others received less intensive training in this subject area in a nearby, large agency's in-service class.
- (6) The same medium size agency also has a one year grant project to assign a team of officers to a high burglary incidence area. The grant funds 15 positions, including 13 sworn personnel. All sworn personnel were sent to a specialized training seminar to upgrade their skills in burglary investigation techniques.
- (7) A large agency started this project five years ago with support from a grant and is now continuing the activity with local funds (this is the same agency which is currently experimenting with team policing in one of its districts). The project began by creating a speciality unit of 15 operational personnel which combined community relation, social service and progressive enforcement functions. The unit was located in and oriented toward the needs of a predominantly minority group community. Unit personnel

were given over 115 hours of formal instruction in sensitivity training, human relations, mental illness, family crisis intervention, psychology of delinquency, ethnic relations, urban problems, public agency resources and community leaders and residents. Some of this training is reflected in the most recent (1974) annual training report of this agency available to us. For example, nearly 900 patrol officers attended in-service training in crisis intervention in 1974. As turnover increases among the original staff and as the agency expands the program to other communities within its jurisdiction, more of the original training curriculum will presumably be reflected in the agency's in-service program. The agency participates in a community college based recruit academy which trains recruits from other participating agencies as well. A brief review of the daily blocks of topics (a summary tabulation is not available) for the most recent basic recruit classroom schedule indicates that about 5-1/2% of the 680 classroom hours covers topics related directly or indirectly to most of the training content described above. The agency is most dissatisfied with some of the specialty emphases it has had to sacrifice in joining this regionalized academy. Some of the reductions in emphasis are in areas which the agency feels it needs for its community services orientation.

3. Technology

As stated before, we looked specifically during our field visits for manpower related effects of technological advances in communications, management information/recordkeeping, and crime fighting. A description of the current state of technological advances in the agencies visited follows. We have broken the presentation down into agency size categories.

(1) Small Agencies - (100/less total sworn and nonsworn fulltime police personnel) - Technological advances are being applied in three of the seven small agencies visited in this category. One of the non-user agencies plans to initiate the use of crime fighting equipment in the near future. The remaining three small agencies would like to use technological aids but have been unable to as yet.

Within user agencies, technological advances in communications and management information/recordkeeping are being applied. These include portable radio equipment; portable dictating equipment for field reporting; microfilm equipment for reports and records; and upgraded base and mobile radio communications equipment. The three agencies which would like to implement technological advancements identify communications and management information/ recordkeeping as areas of concern for them. One of these specified the need for a computerized law enforcement data system using a mini-computer.

(2) Medium Size Agencies - (101/more, 500/less total sworn and unsworn fulltime police personnel) - Of the 14 agencies visited in this category, 13 are applying technological advances to the delivery of their services. The remaining agency plans to expend and upgrade its radio communications systems soon.

Within user agencies, technological advances in crime fighting, communications, and management information/recordkeeping are being applied. These include mobile-based intrusion and robbery alarm equipment; take-home marked patrol vehicles; drug and alcohol testing equipment; portable radio equipment; computer-directed radio communications systems; computerized record systems; computerized field activity reporting systems, and microfilm equipment for reports and records.

(3) Large Agencies (501/more total sworn and nonsworn fulltime police personnel) - All 10 agencies in this category are utilizing technological advances of one form or another.

Within these agencies, technological advances in crime fighting, communication, and management information/recordkeeping are being applied. These include mobile-based intrusion and robbery alarm equipemnt; drug and alcohol testing equipment; portable radio equipment; computer-directed radio communications systems, and computerized management information/record systems.

An examination of our interview data concerning the technological activities described in the three categories above indicate that there has been a minimal impact within individual agencies on their personnel and training and education needs. This is not to suggest that there have been or will be no effects on manpower which can be traced to technology. What is suggested is that when viewed from the perspective of the entire law enforcement system, such effects are felt by such a small proportion of the human resources involved that little serious attention need be given to these effects at this time by those doing manpower planning at the macro level. At the micro level, however, a law enforcement agency administrator who is contemplating the implementation of say, a computer-assisted or - directed communications system must consider what, if any, will be the manpower-related effects of doing so and plan accordingly.

Thus far, the technological advances which we have observed generally have service improvement effects. Many agencies have acquired portable "walkie-talkie" radio equipment for use by field personnel. Consequently, the communications capability of agencies has been greatly expanded. The walkie-talkie equipped officer out of service taking a report of a petty

offense can now be dispatched to a "crime in progress" which might be occurring nearby. Computerized recordkeeping and retrieval systems have also had their impact on service improvements. More information in less time is now available to field officers than ever before, and the continued expansion of these systems to provide more seems likely. Computers have allowed agencies to predict the time and location of certain kinds of criminal acts and some agencies have adjusted their deployment strategies accordingly. New, highly mobile intrusion and robbery alarm systems have given investigators and tactical units improved opportunities for the apprehension of offenders. This type of equipment has been particularly useful to the crime-specific teams discussed in Chapter III, c.2., "Utilization of Personnel."

We think the service improvements illustrated above are significant. One might even carefully analyze the efficiencies to be gained by equipping field officers with walkie-talkies and find that fewer officers could be deployed over a given geographic area with little effect on the level of police services. Today, at least, this level of sophistication is not being applied to the analysis of manpower needs, and, perhaps with the exception of the largest agencies, we can see little on the horizon that leads us to believe this will occur much in the near future. Executives managing law enforcement agencies today seems to be too heavily involved in managing on a daily basis and meeting the many crises they confront to seriously consider such things. In discussing why they felt the application of technology was important to their agency, most executives referred to the service improvements which could conceivably result from the investment required.

Few executives referred to any significant manpower-related problems which could be traced to technological innovations. One agency of just over 1,000 total agency personnel will soon be implementing an extensive management

information system which will affect nearly every agency employee in some way. A major orientation program is being developed and will be presented to employees just prior to initiating operation of the system. Even though this will necessitate a major effort, the agency official responsible viewed it as a one-time need which would be rather easily met. We heard of similar experiences in other agencies where relatively major technological advances have been applied. One agency which recently switched to a computer-directed communications system found the transition to be extremely smooth, with the required training planned much in advance. Many other technological advances being applied to law enforcement today require little, if any, advance preparation or training. Although it may be necessary to articulate some agency policy regarding their care and use, the expanded use of portable radio equipment is a relatively simple matter. So is the use of the intrusion and robbery alarm systems being used by many agencies.

One area we probed into regarding the effects of technological advances on manpower centered on the attendant need for technically competent persons to operate some of the more complicated systems. The need for persons to fill positions such as computer operator/programmer; communications technician; data processive specialist; and security specialist has, according to what we learned, been met without much difficulty. In some cases, agency personnel were selected and sent to training programs to acquire the required skills and knowledges. In others, persons with the required exptertise were recruited from cutside the agency. We found no great preference for either of these two approaches expressed by agency officials. Both seem to produce the desired outcome, with minimal problems.

4. Summary Findings and Conclusions Concerning the Two Trends of Team Policing and Technology

- a. <u>Team Policing</u>. Team policing was institutionalized in three of the agencies visited and under experimentation in a fourth agency. Our conclusions, based on the field analyses at these four agencies are presented below.
 - Our findings tend to agree with earlier research findings that team policing does not require more personnel (at least more sworn personnel). One rationale for adopting team policing is to increase the level of police services without increasing the staffing level, and our findings do suggest that team policing is associated with greater productivity.
 - Team policing appears to be a feasible organizational model for different sizes and types of police agencies. An agency can be large or small, municipal or county, and still adopt team policing.
 - Team policing appears to facilitate civilianization (although the latter does not require this innovative strategy). Civilians replaced officers transferred to street duty in one agency, and CETA funded civilian workers in a second agency.
 - Team policing appears to have a greater impact upon the duties and responsibilities of patrol officers than upon detectives. Team patrol officers definitely assume detective responsibilities in addition to patrol responsibilities, but our findings also suggest that detectives do share patrol responsibilities to some extent.
 - Team policing is likely to contribute to a possible trend in the U.S. toward generalist police officers. Where team policing exists, it appears not to lead immediately to a reclassification of the patrol and detective positions, but there ultimately has to be a reanalysis and reclassification. This will have obvious implications for selection, training and salary administration.
 - Police agencies of the future are likely to have fewer detective positions if team policing becomes more widespread and if it is true that the criminal investigation process accounts for little of all solved crimes.
 - Our findings indicate the greatest in-service training need created by team policing is in instructing patrol officers how to conduct investigations.

- Agencies believe team policing creates a special need for community relations training, but our occupational analysis findings indicate that this need is not unique to team policing agencies.
- Agencies believe certain critical supervisory and management training needs arise as a result of team policing, but our occupational analysis findings indicate that first line supervisory positions in conventional policing agencies have similar knowledge and skill requirements in planning, decision-making and other supervisory and management areas.
- Team policing may restrict scheduling flexibility, making it more difficult to send officers to formal in-service training courses.
- If an agency has outside funds, a considerable amount of time and money is spent on orienting, preparing and training all sworn personnel.
- Institutionalizing team policing should ultimately affect the agency's recruit training program. There might not be an increase in the total number of hours or topics, but there presumably would be more emphasis upon learning investigative skills.
- If a team policing agency does not conduct its own academy, there is likely to be dissatisfaction with the curriculum of a regional academy in which most participants represent conventional policing agencies.
- Neither a college level educational entrance requirement nor an above average educated police force appear to be a prerequisite for institutionalizing team policing. There is also no evidence yet to suggest that the more college education officers have, the more successful team policing is.
- The reasons an agency experiments with or institutionalizes team policing are varied. Because it requires substantive changes, an agency is more likely to be committed to it than to other innovative policing strategies it might try or has tried. It appears to us that many of the other policing strategies tend to be more opportunistic as well as more superficial.
- b. Other Innovative Policing Strategies. Many of the agencies visited were formally planning, experimenting with or using other innovative policing strategies. The majority of them are geared to specific crimes, but there are also a number of general policing strategies. From our review of nearly 30 strategies, it appears to us that over one-half of them do not impact

significantly upon agency manpower and training requirements. The other half do to varying degrees, and we have drawn the following conclusions:

- Externally funded innovative projects are an opportunity for the agency to acquire more personnel and/or more trained personnel. These benefits spill over into the overall resources of the agency during the project and extend beyond its termination. Larger agencies more often than smaller agencies capitalize on this opportunity to augment their resources.
- General policing strategies naturally produce a broader impact on personnel and training requirements and will probably be longer lasting than crime specific strategies since the effects of the former are wider spread in the agency and community. To give one less obvious example of the broader effects, general policing is more likely to increase civilianization. General policing is also more likely to be oriented toward community involvement and crime prevention.
- c. <u>Technology</u>. We looked specifically during our field visits for manpower related effects of technological advances in communications, management information/recordkeeping, and crime fighting.
 - The technological advances which we found during these visits generally have service improvement effects, but we found little evidence to suggest that the application of technological innovation might supplant significant numbers of law enforcement personnel or cause major adjustments in law enforcement manpower utilization and training in the foreseeable future. It seems likely, therefore, that law enforcement agencies will continue to be highly labor intensive and reliant upon human resources for the delivery of services.
 - These findings do not suggest that there have been or will be no effects on manpower in specific agencies which can be traced to technology, but when viewed from the perspective of the entire law enforcement system, any effects are felt probably by such a small proportion of the human resources involved that little serious attention need be given to these effects at this time by those doing manpower planning at the macro level.
 - Even at the agency level, it is our impression that those effects felt insofar as staffing and training/education are concerned will cause few problems and can adequately be dealt with little difficulty.

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- 10. Among these study groups and commissions are the Advisory Commission on Intergovernmental Relations (State-Local Relations in the Criminal Justice System, 1971); American Bar Association (Standard Relation to the Urban Police Function, 1974); Committee for Economic Development (Reducing Crime and Assuring Justice, 1972); National Advisory Commission on Criminal Justice Standards and Goals (Report on the Police, 1973); and President's Commission on Law Enforcement and Administration of Justice (Task Force Report: The Police, 1967).
- 11. This sentiment is reflected in numerous publications. Among them are:

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 Felkener (1973); American Law Enforcement by Vern L. Folley (1973);

Supervision of Police Personnel by W. F. Iannone (1975); Administrative Behavior and Police Organization by Jim L. Murro (1974); Police Personnel Administration edited by O. Glenn Stahl and Richard A. Staufenberger, (1974); Police Administration by O.W. Wilson and Roy C. McLaren (1972); Police Careers by David I. Sheppard and Albert S. Glickman (1973); Report on the Police by the National Advisory Commission on Criminal Justice Standards and Goals (1973); and Task Force Report: The Police by the President's Commission on Law Enforcement and Administration of Justice (1969).

- 12. National Advisory Commission on Criminal Justice Standards and Goals, op. cit.
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- 29. Peter B. Bloch and David Specht, ibid.
- 30. Peter W. Greenwood, Jan M. Chaiken, Joan Petersilia and Linda Prusoff op.cit.
- 31. Peter B. Bloch and David Specht, op.cit, p. 12

A NATIONWIDE SURVEY OF LAW ENFORCEMENT CRIMINAL JUSTICE PERSONNEL NEEDS AND RESOURCES

VOLUME VIII - PART 2

FIELD ANALYSIS OF OCCUPATIONAL REQUIREMENTS
AND PERSONNEL MANAGEMENT
IN CRIMINAL JUSTICE AGENCIES

FINAL REPORT

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CHAPTER IV. ADULT CORRECTIONS

This chapter presents occupational information and reports the results and findings of the various personnel systems analyses performed in the adult corrections area. Information was collected at state departments of adult corrections, selected state administered institutions and community-based facilities, and from city or county jails. The purpose of this multi-level look at adult corrections was to obtain in-depth field experience about the effects of significant personnel policies and trends on key corrections occupations and to gain insights on the job-knowledge requirements of these occupations.

Most of this chapter is organized around four of the six key adult corrections occupations. These four key occupations and their definitions are:

Correctional Institution Administrator: The highest level position with overall responsibility for the daily operation of a correctional facility with more than 200 residents. The position also includes those assistants who have responsibility for a major portion of facility operations. Position title examples are: Warden, Deputy Warden, Superintendent, Sheriff, etc.

Community Correctional Administrator: The person who has direct responsibility for the daily operation of a smaller, community-based correctional facility or program (200 residents or less). This position includes work camp or farms if the emphasis of the facility is on participation of the residents in work, school, and recreational activities in the community. These facilities usually emphasize a wide variety of programs and citizen-volunteer involvement. Position title example are: Community Facility Manager, Work Release Supervisor, Superintendent, Director, etc.

Correctional Officer: The person who has direct responsibility for the custody, security, and safety of residents of a correctional facility. Incumbents can work at the following types of facilities: large medium-maximum security institutions; small, community-based facilities; local jails. Position title examples are: Guard, Custodial Officer, Jailer, Matrol, Residential Supervisor, etc.

Counselor/Caseworker: The person who has "line" responsibilities for "treatment" and service delivery to residents of a correctional facility. The incumbent may be a highly skilled counselor/social worker or an ex-offender whose primary emphasis is advocacy of resident needs and priorities. Position titles may be Correctional Treatment Specialist, Classification and Parole Officer, Case Manager, Advocate, Counselor, Social Worker, etc.

The other two key adult corrections occupations--Probation Officer and Parole Officer--are discussed in Chapter VI.

A. DESCRIPTION OF AGENCIES VISITED

1. Distribution and Type of Agencies

The information in this chapter was generated by field visits to 50 adult corrections organizational entities in 10 states. These consisted of 10 state departments of adult corrections, 19 state correctional institutions, 12 community-based programs, and 9 city or county operated jails. Table VIII-IV-1 on the next page lists the specific headquarters and agencies visited.

In terms of size, the jails all served major city or area populations and, with the exception of the Polk County jail, housed over 200 inmates. The state correctional institutions ranged from large, major institutions with approximately 2,000 beds (e.g., Attica, San Quentin) to smaller, specialized institutions such as the California Rehabilitation Center and the



Table VIII-IV-1
Adult Corrections Headquarters and Agencies Providing Data for NMS

STATES	CORRECTIONS HEADQUARTERS	INSTITUTIONS	COMMUNITY-BASED PROGRAMS	JAILS Baltimore City Jail	
MARYLAND	●Department of Corrections	Maryland Correctional Training Center (Hagerstown) Maryland House of Corrections (Jessup)	●Community Vocational Rehabilitation & Release Center		
ILLINOIS	•Adult Division, Department of Corrections	●Vienna Correctional Center	●WIND Work Release Program	•Cook County Jail	
NEW YORK	Department of Correctional Services	•Albion •Attica	•Rochester Correctional Facility (pre-release)	•Monroe County Jail	
MASSACHUSETTS	•Department of Adult Corrections	•Massachusetts Correctional Institution Walpole	MCI Shirley (halfway House) Massachusetts Halfway House (Boston)	•Middlesex County House of Corrections	
IOWA	Division of Correctional Institutions	•Iowa State Men's Reformatory	●Riverview Release Center	●Polk County Jail	
FLORIDA	Division of Adult Services	•Glades Correctional Institution	•Miami-North (pre-release center)	•Dade County Jail	
COLORADO	•Division of Corrections	Buena Vista Reformatory Canyon City Penitentiary	Bails Hall (work release) Fort Logan (ed. release) Employ X		
TEXAS	•Texas Department of Corrections	•Ferguson Unit		•Dallas County Jail	
OREGON	●Corrections Division	Oregon State Penitentiary Oregon State Corrections Institution Oregon State Women's Correctional Center		●Rocky Butte Jail	
CALIFORNIA	•Department of Corrections	San Quentin Susanville Skill Center San Luis Obispo Men's Colony California Medical Facility (Vacaville) California Rehabilitation Center	Ocentral City Community Center Central Testing (Clinic)	•L.A. County Jail	
TOTALS	10	19	12	9	





innovative Vienna Correction Center in Illinois. The community-based programs were typically located in facilities which housed from 25-200 beds.

The state administered institutions, community-based facilities and jails visited appeared to be representative of corrections agencies throughout the country. The jails visited, on the whole, housed pretrial detainees and sentenced offenders serving time or awaiting transfer to state or federal institutions. The state institutions ranged from maximum security, custody-oriented institutions to those emphasizing various types of skill training or medical or drug abuse treatment. The community-based programs typically provided release programs, particularly work and/or study release programs, and emphasized integrating their programs with various community resources.

2. Linkages With Other CJ Agencies

In the main, the sample of corrections headquarters and agencies visited reflect the basic fragmented relationship with other LE/CJ components that is characteristic of corrections as a whole. Though conceptually a major component of the criminal justice system, corrections continues to manage and supervise criminal offenders that have been "processed" by the law enforcement and judicial components of the system without a great deal of integrated planning or cooperation with those components.

Within the corrections sector, there is a general semblance of a cohesive network among the various corrections services—institutions, probation, and parole—largely because planning is centralized. Unlike law enforcement and courts, in which planning tends to be very decentralized, plans for corrections institutions are almost always formulated at state headquarters locations. Even plans for community—based correctional facilities are usually coordinated, if not actually administered, at the state level. The most notable exception

to this is the case of jails, which generally speaking are only under state control in the sense that the state must audit and maintain standards.

In any absolute sense, however, the linkages among corrections services are not uniformly organized nor fully integrated. Table VIII-IV-2 on the next page illustrates the diverse nature of corrections in the ten states of the field sample. These states run the gamut from organizing adult and juvenile corrections under a single administrative department (e.g., Florida) to separating major services within adult corrections (e.g., Texas).

The community-based facilities visited indicated they maintained close contact with local law enforcement agencies, partly to assuage the local citizenry and partly to supplement their own surveillance of the facility. Community-based counselors also typically seemed to work closely with parole agents in coordinating parole plans for residents in various release programs about to go on parole. And in line with the philosophy of community-based programs, correctional facilities have formed linkages with any number of other non-LE/CJ agencies, public and private, in order to provide work and educational opportunities and various treatment services for their residents.

B. MAJOR FACTORS AFFECTING MANPOWER STAFFING

Field interviews with corrections executives and agency administrators in the sample states indicated that all of the correctional systems visited were experiencing continued manpower shortages which ranged from "aggravating" to "critical." Every state visited indicated that inmate populations were rapidly increasing—or were expected to rise in the immediate future—and that such increases far exceeded the ability of the state or local jurisdiction to respond with additional manpower. Such shortages inevitably placed

Table VIII-IV-2
Organization of Parole, Probation and Institutional Services in Ten Sample States

	Juvenile			<u>Adult</u>			
State Location	Probation	Institutions	Aftercare	Probation	Institutions	Parole	
Florida	Local	Dept. of Offender Rehabilitation	DOR	DOR	DOR	DOR	
Oregon	Local	Dept. of Human Resource	DOHR	DOHR	DOHR	DOHR	
Maryland	Dept. of Health & Mental Hygiene	DOHMH	DOHMH	Dept. of Public Safety & Corrective Services	DOPS	DOPS	
Colorado	Local	Dept. of Institutions	DOI	Local	DOI	DOI	
Iowa	Courts	Dept. of Social Services	DOSS	Courts	DOSS	DOSS	
California	Local	Health & Welfare Agency (Youth Authority)	H & WA	Loca1	H & WA	H & WA	
New York	Local	Dept. of Correctional Services	DOCS	Loca1	Dept. of Correctional Services	DOCS	
Illinois	Local	Dept. of Corrections	DOC	Local	DOC	DOC	
Massachusetts	Local	Human Services Administration	HSA	Local	HSA	Parole Board	
Texas	Local	Youth Council	Youth Council	Local	Dept. of Corrections	Board of Pardons and Parole	

additional burdens on existing staff and created stress on the personnel system.

1. Shortages in Key Positions

The most critical manpower shortages reported by virtually all the departments of corrections and the agencies were for correctional officers, basic
line custodial positions where maximum contact with the inmate population occurs.
The shortages for correctional officers have existed for several years, with the recent acceleration in population increases exaggerating an already significant manpower shortage. A frequently cited problem was that major correctional facilities have a set number of posts which must be manned by custodial staff on a 24 hour per day basis regardless of daily population adjustments or facility activities and priorities. Because the pressures arising from increased population and variable schedules are coupled with those produced by sick leave, vacations, disability leave, and the usual number of vacancies or position shortages, most facilities are consistently faced with major shortages of custodial staff. In addition, administrators cited the following factors as important in contributing to correctional officer shortages:

- drastically increased transportation requirements, particularly trips to court for continuing inmate cases, appeals, post-correction remedies, etc. In addition, some institutions were using work or educational/ release programs which required substantial amounts of transportation arrangements on a daily basis.
- increased use of furlough and/or community release activities which often required correctional officers to handle not only the routine but also specific administrative matters required for effective management.

- increased emphasis on volunteer programs and activities which require custodial supervision.
- court decisions which require additional visiting privileges, custodial representation on hearing boards, and other personnel requirements to meet emerging due process guidelines issued by both state and federal courts.

Shortages in casework/counseling positions were also cited, although these were seldom listed as "critical" shortages. The primary impact of reduced manpower for this position was simply to increase the caseload requirements of existing casework staff, a result which had little effect upon the agency itself other than to increase inmate dissatisfaction.

While administrators were seldom mentioned as a "critical" area of manpower shortage, it was clear that many of the correctional institutions visited could make good use of additional management-level staff. When administrative staff was cited as a shortage, the most common reason given was increased responsibilities of administrators due to court decisions and requirements to assure due process.

Most of the administrators interviewed indicated that, while inmate populations have increased the importance of manpower shortages, many of the reported shortages have existed for many years. From their viewpoint, corrections has long been relegated to the bottom of the priority list at budget time. Administrators indicated that some attitudes have changed since the early 70's, but for the most part corrections continues to face stiff opposition when proposals for increased staffing are presented.

The extent to which manpower shortages are and will be alleviated is a function of both the attitudes of the general public and the willingness of states to pay the cost of increased correctional staff. Some of the states reported that requests for additional correctional officers have been more favorably considered than those for program or casework staff, largely because the public is convinced that such measures enhance their safety. Some of the states reported that no matter how willing they were to improve correctional programs through better security or treatment, there is no guarantee the legislature or the state government is willing to pay the higher costs.

Custodial and treatment staff is expensive. In some states correctional unions have lobbied extensively to further increase the salary and benefits of the correctional officer. While these increases may well have made the position more attractive, they have also contributed to the high cost per inmate per year. And in times of economic recessions both the public and government are concerned more with maintaining custodial costs at a reasonable level than in providing more complete and effective care.

2. Impact of Community-Based Programs on Manpower

The use of smaller (100-500 beds) and community-based facilities has the potential, currently only partially realized, to affect the numbers and kinds of required staff and how they perform.

In smaller, community-based programs, the need for custodial positions is reduced while the need for casework and specialized positions (employment, education, etc.) is increased so smaller caseloads can be created for more intensive treatment. Post-incarceration halfway houses have the most drastically reduced manpower needs, as parolees usually require less direct supervision than sentenced offenders. Small pre-release centers for sentenced

offenders often require substantial staffing needs per inmate, while mediumsized (100-500 inmates) facilities can often make the most efficient use of correctional manpower in each of the selected occupations.

In most of the community-based correctional facilities visited, specialization of staff had increased although not to optimal levels. Staff members in the smaller institutions typically had more clearly defined roles and were able to provide better services for smaller caseloads of inmates. Most of the specialization was in the areas of employment or vocational counseling and placement for inmates who were returning to their respective communities or who were on a pre-release status. Counseling specialists, such as drug and alcohol counselors, were frequently found on community-based facility staffs. While community-based facilities seem to employ more specialized staff they also greatly contribute to corrections use of existing community resources to provide specialized services for inmates in community-based facilities. This permits more diversified services for all inmates reentering the community.

Correctional administrators of small community-based facilities agreed that there is less pressure on correctional officers due primarily to the smallness of the facility and the ability of each correctional officer to have personal knowledge of the inmates residing in the facility. Correctional officers involved in providing transportation duties to the community, supervising work site areas, and attending caseload meetings with the counseling staff are able to experience a more complete level of participation in the actual operation of the correctional facility. Correctional officers seem to be less frustrated in small facilities and more enthusiastic about their work. They appear to be much more open to new methods of training and to the new responsibilities incorporated into their job descriptions.

Community-based administrators also uniformly believed that the smaller caseloads of the community-based facilities, while more expensive, provide better services and less organizational problems. Counseling staff are generally more enthusiastic about the small caseloads and their consequent ability to create personal relationships with inmates as the latter face the pressures and problems of release activities prior to parole. The small caseloads and participation in community-based operations lead to increased staff morale and improved overall operations.

Correctional administrators additionally noted that the smaller community-based facilities had contributed to a recent emphasis on more effective institutional design. Newer community-based facilities emphasized individual privacy consistent with the security needs of the facility. Many of the facilities visited indeed seemed to resemble college dormitories and community recreation areas, but the needs and requirements of security were clearly evident in virtually every facility visited. Most often cited as a result of improved facility design and smaller caseload size was the perception among both staff and inmates that better communication existed between them in the smaller more personalized community correctional atmosphere. And staff members often perceived community-based facilities as offering better working conditions.

While the field interviews do not provide hard statistics for comparison and evaluation, it is clear that community-based corrections have played a significant role in improving staff morale and work environment for correctional workers. Correctional officials expressed much concern over the growing importance and power of correctional employee unions. It is probable that the small community-based facilities can provide the type of working conditions which will lead to increased cooperation between management and line staff to accomplish stated objectives and goals of the correctional process.

3. Impact of Resource Constraints upon Manpower

In common with other government agencies, corrections must operate continually within tight fiscal constraints. Limited resources affect manpower in several interrelated ways. Most commonly cited is that of correctional workers, particularly those providing basic services in correctional institutions of all sizes receive low wages. The majority of executives and facility administrators interviewed indicated that correctional officers and correctional caseworkers receive relatively low amounts of pay for duties and responsibilities which are similar to those found in higher paying mental health and law enforcement jobs. Because of the lower wages, correctional staff often use correctional positions as required experience for entry into related positions in the law enforcement or mental health field. This turnover obviously leads to problems in the training process and in the overall operations of correctional facilities and the larger correctional system itself. Current high costs of custodial services make it difficult for many correctional organizations to increase wages significantly for line staff in both treatment and custodial positions.

Another impact of resource constraints is due to the current and rapid increase in inmate populations. Because of limited funds, the higher populations have resulted in dramatic increases in caseload size for correctional caseworkers. Administrators stated that such caseload sizes are difficult to reduce, particularly in light of general reluctance by legislatures to fund additional treatment/casework counselor positions in larger correctional institutions. High caseload size often leads to increased tensions in inmates who cannot obtain access to correctional caseworkers for the resolution of either routine or major problems and for help with decisions faced within the correctional environment. While many administrators indicated that inmate population

increases may possibly lead to additional allocation of staff positions in the custodial areas, significant increases in caseworker and counselor positions were not anticipated. Consequently, general apprehension was expressed concerning the ability of correctional institutions to provide inmates with necessary services, which would ultimately prevent disturbances and larger problems affecting overall efficiency.

Many administrators reported that resource constraints often made it difficult to respond to problems faced in running large institutions. For example, routine needs such as laundry services, food services, and basic medical care for inmates in large and small correctional institutions could not be met in some cases because resources to provide these services adequately were insufficient. With current correctional budgets heavily weighted toward custodial care and some minimal amounts of correctional treatment, there were often only limited funds available for services concerned with basic human needs. Such constraints have necessarily led to increased tensions among inmates and staff and in turn have generated disturbances and major disruptions of correctional routine.

When problems in facility improvement and renovation were faced by correctional departments resource constraints were almost always cited as a contributing factor. Most correctional agencies mentioned the extremely high cost for construction of new correctional facilities as one of the major problems faced when dealing with rapidly increasing inmate populations. The run-down state of many old correctional institutions has often necessitated that correctional administrators ignore fundamental facility deficiencies which lead to safety and/or security problems for both staff and inmates. When older facilities were in need of major renovation administrative staff

were generally reluctant to implement new programs due to lack of space and inadequate conditions.

The majority of correctional administrators and executives interviewed were not optimistic about their ability to obtain additional resources for improved correctional programming and facilities. They do not anticipate an enthusiastic surge on the part of state legislatures to appropriate the large amounts of funds necessary to design and build new correctional facilities or to provide adequate security and treatment services to assure inmates well-being and insure humane confinement. They do not forsee a powerful constituency arising which will advocate increased funds for corrections, nor a time in the near future when corrections will receive its "fair-share" of the annual budget. Finally, the unresolved status of the ongoing debate regarding the proper philosophical and operational goals of corrections—security or treatment—will continue to make it difficult for correctional executives to present legislatures with plans for long-term change backed by current and projected indicators of effectiveness.

C. ANALYSIS OF PERSONNEL SYSTEMS CHARACTERISTICS

One of the major components of the field analysis program was to examine selected personnel policies, procedures, and issues in order to gain some insight into their impact on key corrections occupations. Toward this end, interviews were conducted with directors and staff members of personnel and training departments at the headquarters level in ten state departments of adult corrections. Training information also was sought at 19 state institutions, 12 state community-based facilities, and 9 municipal and/or county jails.

This section will discuss the following personnel issues in relation to key occupations: (1) recruitment and selection, (2) growth and turnover, (3) career development and promotion policies, (4) affirmative action programs, (5) labor management relations, and (6) training and education policies and programs. The general presentation of this section is organized around the four key adult corrections occupations—correctional administrator, community correctional administrator, correctional officer, and correctional counselor/caseworker.

1. Recruitment and Selection

Selection standards and procedures are critical components of any personnel system because they dictate the nature of personnel recruitment and ultimately can contribute to overall effectiveness of an organization. While all the states sampled operated under the Civil Service system or something comparable, they reported that the Department of Corrections had final inputs into the selection standards and process.

a. <u>Correctional Administrator</u>. In the majority of the states sampled the correctional administrator was an appointed position not subject

to normal regulation. The most often cited advantages of such an appointment process were that it gives the Director or Commissioner of the department more assurance that the persons employed in key institutional positions share his philosophical and operational perceptions. Replacement is more efficient because he is not hampered by Civil Service procedures for hiring or terminating such employees. However, a disadvantage of such a system is that it can be disruptive to continuity of institutional operations, since political changes can often result in rapid personnel changes at department and institutional levels.

Detailed selection standards had not been developed for correctional administrator positions by most of the states. Work experience was cited by all as being important, but the amount of experience required varied from state to state. Interviews indicated that requirements for the correctional administrator position have not changed significantly in recent years and that there probably would not be significant changes in selection requirements in the immediate future. The few states which indicated that there might be a change in requirements cited a number of causes, most of them revolving around the increasing complexity and multidisciplinary approach required for the position. Management skill training will most likely take on increased importance for administrators. Tightening budgets, rising inmate populations, and facilities which are often badly outdated are requiring the correctional administrator to become more than simply a director with long years of custody-oriented career service. It will be critical for administrators to understand and apply effectively federal and state statutes concerning a variety of topics from Affirmative Action programs to the growing area of inmate rights. Court decisions have played an increasing role in the operation of correctional institutions over the past several years, and while it was not suggested that

future administrators should also be attorneys, it was emphasized that at least minimal legal skills will be needed. In addition, administrators will need to acquire human relations skills for effective work with both staff and inmates.

In sum, the administrator no longer has the "luxury" of managing an institution from his isolated office, but rather he must play an increasingly active role in the daily interactions within the institution. While the anticipated changes and related factors cited in the interviews are not surprising, they do indicate possible modifications in the administrator position which future recruitment and selection standards will need to reflect.

b. <u>Community Correctional Administrator</u>. Many of the comments related above also apply to the community correctional administrator. There is no uniformity among the sample states as to the educational or experience requirements for community correctional administrators. The majority of the states indicated that no changes had been made in position requirements in the past five years, a fact that becomes less significant when the relatively recent emergence of the position is considered. Similarly, the majority of the states predicted no major changes in requirements for this position for the future.

The community correctional administrator is a relatively new position that covers a wide range of programs and facilities. The selection requirements are often the same or very similar to that of the correctional administrator. While the facilities and programs he supervises are usually on a smaller scale than those for which the correctional administrator is responsible, the mission of such operations requires similar management skills. Educational requirements which emphasize human relations training and management

skills will become increasingly important. It is likely that the next five years will see further development of this position as methods for the effective operation of community-based programs become more refined.

c. <u>Correctional Officer</u>. On the basis of interviews at the sample states, correctional officer positions appear to be relatively standard. All but one state required at least a high school diploma or G.E.D. and most of the states had established minimum physical requirements. There was no uniformity among the states concerning prior work experience, however.

If the sample states are in any way representative of the country, it is doubtful that there will be widespread and/or major changes in selection criteria for correctional officers in the near future. This position has essentially remained unchanged in the sampled states for many years and there was little indication that any major changes will be forthcoming. Only where departments are currently experimenting with newly defined community-based roles is there an opportunity for significant change in position requirements. Several states, however, indicated that the job analysis required by EEOC and Civil Service may well cause some job requirements for correctional officers to be modified.

d. <u>Correctional Counselor/Caseworker</u>. The sample states revealed little standardization in entry requirements for counselors. The most significant and surprising disparity found was in the area of educational requirements. Some states require only a high school diploma or G.E.D., while other states require a college degree. As with the correctional officer position, most states indicated they had not recently changed entry requirements for correctional counselors, and reported that it was unlikely there would be significant changes in the near future.

Recruiting is another personnel systems function that has implications for the key adult corrections occupations. In the sample states, recruitment in the correctional departments focused primarily upon the entry level positions, specifically those of the correctional officer and the counselor/caseworker.

In all of the sample states correctional officers were entry-level positions with recruiting sources most often listed as the "new hire." Three of the ten states used a "cadet" or pre-entry position which led to a "promotion" to the entry-level position. Most of the states required a high school diploma for appointment as a correctional officer, with only one state indicating no educational requirement.

All of the states reported that the correctional counselor position was considered to be entry-level. Most of the states recruited by new hires and most indicated that a college degree was necessary.

While some states reported that they considered "transfers" to be a recruiting source, the survey interviews indicated that transfers made up only a relatively small proportion of the total new staff of a department. The reasons cited most often were incomparability of salaries and benefits, non-transfer of accrued leave and/or fringe benefits, and rigid civil service standards which do not facilitate such transfers. It was mentioned in several of the interviews that emphasizing transfers as a recruiting source among states might be desirable, as often highly-qualified persons who are "passed-over" for promotion in one state may be extremely well-suited for a similar position in another state. However, current procedures do not make such transfers feasible for most state correctional personnel.

States were asked to report recruiting sources for each of the key occupations, with the results listed in the table below:

Table VIII-IV-3

Recruiting Sources for Key Adult Corrections Occupations
(N = 6 States)

	College	Vocational School	Intra- Agency	Other Correc. Systems	Personal Contacts	Political Contacts	General Contacts
Correctional Administrator	3	1	6	3	5	_	_
Community Correctional Administrator	2	1	5	2	4	_	_
Correctional Officer	2	3	2	2	3	_	6
Correctional Counselor	6	1	2	1	3	_	2

It is interesting to note that intra-agency sources and personal contacts are an important method of recruiting. This would suggest that many state correctional systems typically operate as closed-shops, relying upon correctional experience and personal recommendations for recruiting staff.

Of those states which indicated that colleges were a recruiting source, the table on next page indicates the subjects which were emphasized in the recruiting efforts:

Table VIII-IV-4
Curriculum Emphasis in Recruiting

	States Reporting
Sociology	5
Criminal Justice	3
Psychology	2
Criminology	1
Business	1

It is interesting to note the low emphasis placed upon business-related majors although states would not be likely to recruit administrators directly from college campuses. Though personnel executives frequently acknowledged the increasing complexity of administrative responsibilities in both large and small correctional institutions, this has not been reflected in recruiting. Emphasis is put on the traditional behavioral science disciplines, with some attention to the newer criminal justice curriculum.

The consensus among the states was that future recruiting efforts would be influenced by several key factors; the most often cited was affirmative action programs. They also indicated that community colleges would become an increasingly important recruiting source for correctional officers, while college programs would be used more often for recruiting counseling staff and administrators. One state indicated that recruitment would not be a major problem in the near future, as they expected to continue to have many more qualified applicants than needed for each vacancy. This likely holds for all states which are experiencing an economic recession.

2. Growth and Turnover

A portion of the interviews was concerned with determining the growth and turnover of each key occupation in order to gain insights into future manpower needs.

a. <u>Correctional Administrator</u>. There was no clear indication from the sample states of an overall growth pattern for this occupation. Some states reported consistent growth of authorized positions while some reported decreases.

Growth in this position is clearly related to the opening of new correctional facilities. With the current rise in inmate populations, averaging 11% over the past year, it is certainly reasonable to expect that more states will construct new facilities to house the increasing numbers. Florida, for example, currently has plans for five new institutions with more than 2,280 beds (and with a price tag of more than \$38 million). Such construction will doubtless result in increased needs for manpower in correctional administrator positions.

There was little turnover reported for the correctional administrator position. Retirement was cited most frequently as the reason for the turnover that was reported. The stability in this position can be attributed in part to the fact that most administrators have made a long-term commitment to corrections and have achieved a level of success. In addition, states have provided impetus for administrators to remain in corrections.

b. <u>Community Correctional Administrator</u>. Again, there was no clear pattern of growth discernable from the states sampled: some states foresaw growth, other states did not. Two states did not have community correctional administrators and did not expect to add any in the near future.

Any growth in this position is related to the utilization of new community-based and smaller facilities. As correctional systems look to alternatives to meet rising inmate populations, the increased use of the small to medium size facility is not an unreasonable expectation. To the extent that states respond

to population growth through new facilities, there will be an increasing need for administrators.

c. <u>Correctional Officer</u>. The sample states were unanimous in reporting growth in the correctional officer position. The most rapid growth reported was approximately 30% over a three year period. There was general agreement that correctional officers can be handled easily by most correctional systems and that the current economic slowdown has made recruitment and retention of "line staff" easier. A common fear expressed, however, was that if the nation's economy improves, many of the current correctional officers will begin to pursue other, more attractive employment opportunities.

Even with the current economic recession, turnover for the correctional officer position was reported as being high enough to be troublesome by all of states in the sample. The majority of the turnover was due to voluntary resignations and the reasons most often cited were lower salaries than other agencies and the tension and overcrowdedness of institutions. Moreover, the location of institutions far away from urban populations was reported to be a major factor in staff turnover. Continued high unemployment rates might be the primary contribution to decreasing turnover in the correctional officer position.

d. <u>Correctional Counselor</u>. The majority of the sample states reported zero or minimal growth in correctional counselor positions. As new facilities are opened and inmate populations increase, there will be need for additional counselors.

None of the states predicted rapid growth for the near future. Practically all acknowledged the desirability of more counselors and lower caseload ratios,

but the pressures brought about by the increasing inmate populations has created a need to consider security first.

The general consensus of the sample states was that turnover among counselors is generally lower than in previous years but high enough to create stress in the correctional system. The turnover rate is expected to increase as the economy improves.

To supplement the information obtained from state headquarters, growth and turnover data were collected for key occupations from nine state-administered institutions (not community-based facilities). Information from the two sources was generally consistent.

All but one correctional institution reported increases in the number of authorized correctional officer and counselor positions over the past 2-3 years. The increased number of positions is directly related to increased inmate populations, and the growth is seen as absolutely necessary in order to insure that the institutions deal with the rising populations with at least minimal effectiveness. All the institutions reported they needed still more correctional officers and counselors.

The highest turnover reported by the institutions was for correctional officers. Counselors had much lower turnover rates. Personnel staff at the institutions indicated that they expected turnover rates to stay the same or decrease in the near future because of generally high unemployment and tightening job market in corrections.

As a summary of the reports given by departments of corrections and institutions concerning the growth and turnover of key occupations, it is reasonable to suggest that increasing inmate populations and the need for

additional institutions call for increased corrections staff. Correctional officer and counselor positions, as direct "service" provider jobs, are most sensitive to fluctuating inmate populations and, hence, can expect the most growth. Growth in correctional administrator/management positions is more a function of department philosophy than a change in the staff-inmate ratio, since increased inmate populations do not necessarily require new facilities or additional administrative positions.

Even though a sluggish economy may slow down turnover of correctional officers and correctional counselors for the immediate future, these positions apparently will remain as "stepping-stones" to careers in alternative fields for a high percentage of incumbents. Poor working conditions and relatively low pay are two factors which most often combine to make these high turnover positions. There were no indications that these adverse conditions would be improved significantly in the near future.

3. Career Development and Promotion Policies

A significant aspect of any personnel system is the provision made for advancing job incumbents and helping them to develop careers. Data were collected from the ten sample state departments of adult corrections concerning promotion standards and the existence of "career ladders."

Table VIII-IV-5 below indicates the number of sample states reported they use some form of formal career ladder for each of the key occupations.

Table VIII-IV-5

Number of Sample States Using
Career Ladders (N = 10)

	Number of States
Correctional Administrator	5
Community Correctional Administrator	5
Correctional Officer	8
Correctional Counselor	9

The career ladder was regarded as important by most of the personnel directors interviewed because it enables staff to view their current position in terms of a career, rather than merely a "job" which will provide the necessary experience for ultimate change to another career field. The smaller number of states reporting such a "ladder" for the administrative positions reflects the increasing reliance upon these positions as appointive rather than competitive. This is in marked contrast to earlier correctional practice in which the warden or superintendent almost invariably was a correctional officer who had successfully moved through the ranks to assume the key position for an institution or department.

Career ladders for the correctional officer most often reflected upward movement through a quasi-military structure, usually beginning with the line officer position and resulting in a non-uniformed administrative position in which responsibilities were focused upon total institutional security-operations. Correctional officer career ladders had little of the flexibility which would permit incumbents to move to other career ladder opportunities (i.e., casework or administrative). Most promotion systems examined tended to be rather rigid and closely supervised by the Civil Service or state personnel system. Since limited numbers of custodial personnel could be promoted to supervisory positions (Sergeant, Lieutenant, Captain, etc.), the vast number of line staff perceived only limited opportunity to use the career ladder.

The career ladder reported for caseworkers/counselors typically consisted of several levels of expertise for each of the basic counseling positions. The established career ladders offered little opportunity to move into institutional administration, although most of the personnel directors made it clear that casework/counseling supervisory staff were often promoted to administrative positions even if this was not written into the formal career ladder.

Promotions are usually controlled by standards and criteria determined by the state Civil Service; only one of the states in the sample reported that the department administered its own promotion program. The following table indicates key factors used to determine eligibility for promotion.

Table VIII-IV-6
Eligibility for Promotion in Six Sample States

	Supervisor Evaluation	Seniority	Promotion Exam	Experience in Rank	Formal Educa.	Training
Correctional Administrator	5	1	3	4	6	6
Community Correctional Administrator	4	2	2	3	5	5
Correctional Officer	6	2	5	5	4	5
Correctional Counselor	5	2	6	5	5	4

As can be seen in the table, promotional eligibility depends greatly upon supervisor evaluations, formal education, and training. There was relatively little emphasis reported on the criterion of seniority, but experience in a person's current position was given as an important factor.

The reported emphasis upon education as a factor in promotion, particularly for the correctional officer position, is surprising in light of the minimal educational requirements for appointment to these positions. Even though no state indicated specific requirements for increased education at any position on the correctional officer career ladder, there appears to be pressure for more education. It is clear, however, that most states sampled look at current job performance (supervisor ratings), experience, and specialized training when making promotion decisions.

A noteworthy issue raised by several different personnel directors was that individual state corrections systems have few opportunities to improve overall administration of prison systems by taking advantage of experience and expertise of staff from other jurisdictions—particularly at line operations and mid—levels of management. Talented staff in one state seldom can move to a neighboring correctional system without losing substantial accumulated benefits, making such transfers economically difficult. One suggested solution was for groups of states—most likely on a regional basis—to adopt policies which encourage transfer without the loss of benefits. Such policies would permit staff to engage in a flexible career planning process with greatly increased opportunities. Fresh inputs at all levels of the system—rather than at top—management only—would undoubtedly result in better operations and improved staff morale.

4. Affirmative Action Programs

All of the states sampled indicated they had adopted affirmative action programs to facilitate the recruitment and retention of women and minorities. Every jurisdiction reported increases in the hiring of women and minorities. One state, for example, reported that minority correctional officers had increased from 4% to 12% of the total and another state department of corrections had increased minority representation from under 19% to 21%.

On the basis of the information gathered from personnel department directors and correctional institution personnel staff, it appears that affirmative action in correctional systems is a state-level rather than localized initiative. Several personnel officers at local institutions indicated that only priorities were set at the state level. Other officers indicated that specific numbers or proportions of minority applicants were required to be hired to meet state-issued guidelines.

All but one of the sample states reported that there were some restrictions on who could hold department positions. Most often cited were limitations on the assignments which women could perform within the institutions. The majority of these restrictions for females were in effect because of highly dangerous posts, areas within the facility which were "off limits" to female staff, or general regulations which prevented women from working in male institutions. One state, however, indicated that, as a result of pressures from affirmative action, a major policy change had been implemented to remove all restrictions on the placement of women or minorities in institutions. There was no indication from any of the sample states that blacks or other minorities (other than women) were excluded from posts or assignments in the department. Whether or not this was a result of affirmative action programs could not be determined.

The most frequently cited obstacle to recruiting minorities was the isolated location of most correctional facilities—they are often some distance from minority populations. In Texas, for example, correctional facilities cluster about Huntsville in the eastern part of the state, many miles from the large Mexican—American population concentrated in the southern and western sectors. In many other states, the rural location of facilities makes them inaccessible to potential black staff members living in cities. One state reported developing a plan to overcome the problem by recruiting minorities in cities and then paying relocation expenses to towns near institutions.

Another problem related to affirmative action is concerned with what happens after minorities are employed by correctional systems. While the correctional systems apparently have responded to affirmative action mandates through recruitment for line-level positions, there is little evidence that

they have been equally as conscientious about formulating procedures for staff development that facilitate the promotion of qualified minorities to supervisory positions.

5. <u>Labor Management Relations</u>

Increasing levels of union activity are now apparent in government and employee associations are displaying more active roles. The NMS was interested in exploring the effects of these movements and the more traditional Civil Service system on the key occupations. The following table indicates the number of sample states reporting key occupations affected by unions or Civil Service.

Table VIII-IV-7

Key Occupations Impacted by Unions or Civil Service

	Number of States	(N=10)
	<u>Civil Service</u>	Unions
Correctional Administrator	4 4	0
Community Correctional Administrator	4	0
Correctional Officer	7	3
Correctional Counselor	8	1

Correctional officer positions appear to be most affected by unions. The greatest union impact was in the areas of job assignment and bidding procedures for positions within correctional institutions. Bidding on jobs is usually accomplished by seniority, thereby assuring that certain posts within institutions—often those least accessible and thus least dangerous—will be assigned to older correctional staff. Newer and relatively untrained staff frequently are assigned to high visibility posts with attendant pressures and responsibilities. Bidding based on past assignment inhibits administrators

from using staff to meet needs as they arise and thus reduces institutional flexibility. This inflexibility in assignment procedures often results in the need for additional manpower or for current staff to work overtime in order to meet the daily requirements of the facility.

The majority of the personnel staff interviewed expect that unions will increasingly become a significant factor for corrections in the future, in the following ways:

- unions will have an increasing impact on the budgeting process,
- collective bargaining between state government agencies and their employees will be covered increasingly by legislative policies and procedures,
- more correctional staff will become associated with unions, including clerical and professional staff, and
- unions will continue to focus primarily upon salary and fringe benefits.

In contrast to unions, Civil Service frequently affected staff salaries and fringe benefits, but seldom was significant for workload or working conditions. Civil Service regulations regarding promotion, retention, and the development of job descriptions were also mentioned as important. Civil Service has had little impact upon emerging occupations, although one state did indicate that the department and Civil Service worked closely together to develop new position descriptions in response to department needs. Most personnel directors indicated, however, that the Civil Service system in use often provided rigid guidelines that made it difficult to create new positions

or to hire highly-qualified staff who had not participated in the lengthy Civil Service examination procedure.

6. Training and Education Policies and Programs

Training has long been acknowledged by correctional administrators as a critical aspect of any effective correctional system. Of particular interest to the NMS was the training provided for the key corrections occupations.

Interviews were conducted with training directors and/or directors of training academies in the 10 sampled states, at 15 state-administered institutions, and at 9 municipal or county jails.

Following a general description of the status of training, this section discusses the preservice and in-service training administered to key corrections occupations.

As a general description, the size of training budgets varied among states depending upon the size of the system. No state sampled had expectations that training budgets would decrease. Budgets for training consisted of combinations of state and federal (LEAA) funding, with federal support ranging from 90% to less than 15%. Federal funding was typically provided for a three-year period with the expectation that the state would gradually assume complete financial responsibility for departmental training.

There was a definite move by <u>state correctional headquarters</u> toward developing centralized training facilities with full-time training staffs. The authorized full-time positions ranged from 4 to 40; none of the states relied on part-time trainers in the academies. Standards established for trainers varied greatly among the states. Work experience requirements ranged from none to a total of six years of related educational or work experience. One

state had no listed educational requirements for the training positions, while other states either required a high school or college degree.

Numbers of training personnel working at the <u>state institution</u> level were small, with training staff at most of the facilities numbering one or less. Several of the facilities visited used part-time trainers who had other line correctional duties. Qualifications for trainers at the institutional level often seemed to be quite vague; however, correctional officer experience was generally required. Educational requirements for training positions were also typically vague or non-existent, with most states reporting that training staff had wide-ranging educational backgrounds ranging from high school to MA degrees.

Most of the <u>jail</u> facilities visited had no full-time training staff.

Positions at jails typically combined custodial duties with part-time training responsibilities.

Training needs were established by some type of empirical needs assessment at half of the <u>state headquarters</u> sampled. Several of these states used task analysis with supervisor inputs to determine training needs. The use of advisory groups to develop training curriculum was also reported.

Evaluation of training was carried out at the headquarters level by all of the sample states. Most evaluations were based upon an assessment of trainee attitudes and performance posttests. Training staff were responsible for the evaluation effort in all the states, and data collected were used to modify training courses in each of the states.

Most of the <u>state institutions</u> reported that some form of training evaluation had been attempted. Such evaluations typically relied upon feedback

from trainees themselves, who usually filled out written forms distributed at the conclusion of sessions.

<u>Jails</u> also reported that evaluations were performed at the conclusion of all training sessions. Feedback from trainees was the most common technique employed.

In summarizing the general status of training in corrections, it appears that extensive training is a relatively new phenomenon which has grown quickly in most correctional systems. Federal funds, most often provided by LEAA, have served as "seed money" for most of these efforts with some states only now beginning to fund training efforts with state monies on a fairly large-scale. Federal monies provided to the states for training have been extremely valuable in the initiation of this expensive part of corrections; however, the real priority of correctional training will be determined in the near future by the extent to which states continue to provide funding for training.

The trend toward statewide correctional training academies seems well established. The academy approach has led to more uniform training for all facilities in the state which allows use of preplanned training standards for all employees. The centralized facility permits preservice and in-service training for staff which will not easily be subject to the changes in daily priorities and staff requirements at local facilities. With a state training academy, staff from jails could and should be included in state training efforts as much as possible, with local jurisdictions reimbursing state correctional departments for such training. While the state training academy should provide comprehensive pre and in-service training programs, correctional institutions should emphasize OJT to update and reinforce academy skills.

Preservice Training

As defined for the NMS, preservice training is that which is given to new employees before they begin work or within several months of employment. The following discussion focuses upon preservice training for each of the key occupations.

- Correctional Administrator. Half of the states reported they a. had established some type of preservice training for new administrators. For those states not providing training, the reason most frequently offered was that training was unnecessary, since most of the incumbents for administrative positions have been in the correctional system for significant lengths of time and are familiar with department or institution operating procedures and policies. In those states which did provide training, it was commonly felt that preservice training was desirable because it gives a picture of the operations of the department, its interaction and relationships with the other branches of government and specific institutions, and the perspectives of administrators of similar facilities in neighboring states. Since the position of administrator is invariably complex and demanding, the provisions of some type of non-pressured learning experience for newly appointed administratorsregardless of their previous work experience--may well be useful in significantly improving the quality of their work and their contributions to the total organization.
- b. <u>Correctional Officer</u>. All the sample states indicated that preservice training was provided for correctional officers, and all but one of these states has made such training mandatory. Training in these states ranges from two to ten weeks, with the most typical being three to four weeks. Content

typically covers orientation, all aspects of security and custodial procedures, and some training on the role of treatment in a correctional facility. There was some indication that treatment topics will continue to receive more emphasis in the future. Virtually all trainees went to job responsibilities after preservice training with minimal additional OJT at the institutions.

Training for correctional officers has changed dramatically over the past five years; the changes have most often focused upon pulling fragmented training efforts into integrated programs with specific goals and standards for accomplishment. A few states indicated that most of the changes in the past five years have focused upon the addition of treatment topics to the training curriculum. Over half of the states indicated that training in the next five years will be modified to include treatment topics such as inmate rights, humane methods of inmate treatment, and revisions in the role of the correctional counselor.

Over half of the <u>state institutions</u> report that preservice training was provided at the facility, while the remaining institutions indicated training was provided at statewide training facilities. Institutions most often used an orientation format which included an overview of the institution's organization and program as a central theme. Lectures, meetings with staff supervisors, and rotation experiences which assign the trainee to different posts within the institution were the most commonly used training methods. Content of training most often focused upon custody procedures, the use of weapons, report writing, institutional regulations, and state laws which apply to correctional settings. Training ranged from a total of four days to three weeks duration.

Most of the changes over the last five years focused upon increased training at the institutional level (several facilities offered no training five

years ago). Training has therefore increased significantly and the curriculum has become more human relations oriented. The problem most often cited concerning training was the lack of available funds to permit new staff to leave their positions within the institutions for training. There are no provisions for temporary coverage of empty posts at the facility. Alternatively, if trainees are asked to report for training after working a full shift, overtime funds for training becomes the primary issue.

All of the <u>jails</u> in the sample had mandatory preservice training.

Orientation to jail operations and custodial skills were most often cited as the primary topics in the training curriculum. Jail interviews in particular brought out the critical need for human relations training for correctional officers. Jail personnel indicated that there remains much resistance to preservice training for correctional officers, particularly from older jail staff. Some local jail facilities have entered into agreements with state officials to send jail staff to the state academy for training consistent with state guidelines and standards; virtually all jail personnel interviewed felt that such training was a valuable addition to training efforts within the jail.

In summary, the trends observed in correctional officer preservice training point to (1) longer periods of training, (2) increased centralization of training at the headquarters level, and (3) greater emphasis upon treatment.

c. <u>Correctional Counselor</u>. The majority of the states reported that they had developed preservice training programs for counselors; an additional state planned to initiate such a program in 1976. Such training was mandatory in only three of the states, with the length of the training

ranging from one and a half to five weeks. Training content usually focused upon various treatment modalities but usually included some security-related topics. Most the the states indicated that preservice training for counselors was relatively new and has grown rapidly in the past few years. All of the states predicted that training for counseling staff would take on increasing importance in the next five years.

State institutions indicated that preservice training for counselors at that level was usually similar or identical to that received by correctional officers. No jails reported having preservice training for caseworkers.

It is interesting to note the heavy emphasis upon preservice training for correctional officers in contrast to the less concentrated efforts for the counseling staff. Much of this contrast derives from historical roots of correctional institutions where security played the critical role in the operation of the institution, and treatment or counseling was merely a secondary effort that was isolated and of lesser importance. More recently, administrators have been prone to make a distinction between the "professional" college educated caseworker/counselor and the high school graduate correctional officer. Training for correctional officers has often been justified on the grounds of critical need to assure minimal competency, while the counselor has been assumed capable of carrying out responsibilities with a minimum of special training.

In-Service Training

In-service training, according to the NMS definition, occurs after the initial orientation or preservice training and continues throughout one's career. Departments vary greatly in their approach to in-service training,

some designating it as informal on-the-job training (OJT) and others establishing more formalized training sessions at regular intervals for selected staff.

developed mandatory in-service training programs for administrators. Most provide training topics on an "as needed" or "as desired" basis, and the bulk of these are directed toward management issues. The majority of states indicated that no in-service training was provided for administrators five years ago. Projections for the future show more management-related training for administrators.

At <u>state institutions</u>, administrators were quick to note that their most critical training need was for correctional officers at mid-level positions (beginning management training). No mention was made of perceived deficiencies in the education or training of administrators themselves. However, well-organized in-service training programs for administrators can be identified as an important need in most of the states visited. Although administrators have often had many years of correctional experience before assuming their positions, much of the experience is not directly related to their new management tasks and responsibilities.

Only two of the jails visited used formal in-service training sessions for administrators, one hiring consultants to train in specific "need" areas and the other using an established "executive development" program for all administrative staff. The general consensus expressed was that more management training is needed for administrators.

b. <u>Correctional Officer</u>. All of the sample states indicated that in-service training was provided for correctional officers. Half have developed mandatory programs, while the remaining states used prepared in-service

topics on an "as-needed" basis. Most in-service training occurred at correctional institutions, although some was scheduled in training academies. Wherever offered, this training has largely been developed over the last five years. The most frequently mentioned plans for in-service training involved putting increased emphasis on treatment topics and communication skills. A trend toward providing more total hours of training was also evident.

All but one of the <u>state institutions</u> visited indicated that in-service training was provided for correctional officers, ranging from occasional seminar on safety issues or firearms to formal programs requiring 40 hours of training per year for every officer. More informal OJT training involving lectures, review sessions, and job rotations, was also reported at several of these institutions. In-service programs included demonstrations and lectures on weapons, custody procedures, updating of institutional policies, self-defense tactics and report-writing techniques as well as human relations and communications skills. Most of the institutions conducted these in-service programs on a mandatory participation basis, with the most emphasis placed upon weapons and custody procedures.

Changes in in-service training efforts have been focused primarily upon increasing training opportunities for staff, particularly for line supervisory personnel. Curriculum topics emphasizing riot control and crowd control tactics have become increasingly important. Human relations training has been a topic which has been stressed in the past two to three years, and several of the training personnel interviewed indicated that this topic would continue to have importance in the immediate future.

Each of the <u>jails</u> indicated that some in-service training was offered, although the amount and topics varied greatly. Most jails centered their

in-service training programs for jails were responsive to state standards and priorities. Most jails centered their in-service training on custodial procedures and policies, although some were adding human relations and supervisory courses.

c. <u>Correctional Counselor</u>. In-service training for counselors has been initiated by state departments of corrections, but has not been developed to any great extent in most states. Most of the states indicated that inservice training was offered to counseling staff, although only two states had ade such training mandatory. One state was currently in the process of developing training programs for counselors.

Virtually all of the state institutions reported that in-service training for counselors was not as well developed as that offered to correctional officers. When in-service training was provided, it usually involved fewer hours than similar training for correctional officers. Some institutions used in-service training to highlight treatment modalities useful to counselors working in drug and alcohol abuse areas.

None of the jails sampled provided in-service training for counselors.

d. <u>Summary</u>. One of the most glaring weaknesses observed in correctional training programs was the general failure to make training more than a direct response to a specific problem or need. There was little evidence that training is currently being used as a career development tool for correctional staff. Without discontinuing basic training courses, plans need to be developed to individualize training for staff in a manner which enhances career progression and helps to identify persons most capable of assuming management positions. This might be accomplished by placing greater emphasis upon inservice training programs for staff in each of the key occupations. Any such





programs developed must overcome current training problems, including provisions for overtime or staff relief for positions vacant because of trainee participation, increased funds for training resources, qualified trainers, and adequate training facilities in institutions which are currently overcrowded.

The assumption that years of correctional experience automatically qualify a person for an administrative position in a correctional facility is faulty, and there needs to be increased emphasis placed upon creative preservice training for new administrators. Such efforts might include formal classroom training, visits to other state correctional systems, national seminars, use of special reading and resource lists, and other initiatives which would provide as broad a perspective as possible for the newly appointed administrator. In-service training should also be emphasized for administrators, and should make use of outside resources or inputs whenever possible to assure that administrative staff develop and/or refine new and existing management skills. Training as a contribution to career development should be continued and even emphasized for administrators.

Because of the rapid increase in the development of community college and criminal justice curricula at colleges and universities, state departments of adult corrections should make greater efforts to encourage staff to take advantage of continuing education opportunities. Availability of continuing education should be considered when planning training programs, and college curricula should be integrated with agency and departmental training to insure higher quality training results. A good opportunity now exists for state corrections systems to develop more systematic interrelationships with higher education.





7. Conclusions and Findings

The following lists summarize the observations made in field interviews with personnel and training departments and staffs at selected departments of adult corrections, institutions, and municipal/county jails. Findings for both personnel systems and training and education areas are given.

a. Personnel Systems

- Increases in inmate populations will continue to result in pressures for more correctional officers and correctional counselors.
- The most rapid growth will occur in correctional officer and, at a lesser rate, correctional counselor positions. Both the correctional administrator and the community correctional administrator will be growth positions in many jurisdictions, but large numbers of personnel are not involved in these categories.
- There is relatively little turnover in correctional administrator positions. However, turnover rates for correctional officers and, to a lesser extent counselors remain relatively high.
- Career ladders for correctional officers and counselors are generally restrictive in that they do not provide options for moving into administrative positions.
- There is little opportunity for correctional staff to transfer among state correctional systems without loss of benefits.
- Affirmative action programs are widely implemented and have resulted in increased numbers of minorities in corrections. Less progress has been made in insuring promotions of minorities to managerial positions.
- Unions will expand to more states and will have increasing influence upon personnel policies at both the institution and department level.

b. Training and Education

• Correctional training has grown significantly since 1970, largely through the impetus of LEAA support.

- A training infrastructure has been developed in many departments of corrections in the form of centralized training facilities, full-time staffs, and training development resources.
- Preservice training is generally more developed in corrections than in-service training, and training for correctional officers is more developed than for counselors.
- Centralized training academies will continue to be the primary focus of correctional training for state correctional systems.
- Jails as a whole do not provide much training and what they do offer is less developed than that given in state correctional systems.
- There is need for more and better management training for correctional administrators.
- Training curricula for correctional workers continue to add topics dealing with treatment and interpersonal relations.

D. OCCUPATIONAL ANALYSIS OF KEY OCCUPATIONS

This section presents the occupational analysis of the following adult corrections key occupations—institution correctional officers, institution and community—based counselor/caseworkers, and community—based administrators. Insufficient data were available for performing analyses on institution administrators and community—based correctional officers.

The objectives of the occupational analysis are to: identify and describe the tasks that key occupation incumbents perform on the job; identify the knowledges and skills required for performing these tasks; and assess the potential future task and knowledge/skill requirements and derive training and education implications of the current and future task-knowledge requirements for each key occupation.

The data on which the occupational analyses are based were developed through different stages of refinement following a Functional Job Analysis Model. Briefly, tasks and requisite knowledges and skills were identified and described on the basis of observing and interviewing incumbents and from inputs received from experts and our staff specialists. These were incorporated into Task and Knowledge Checklists for each key occupation. The Checklists were used in the field to collect incumbent responses as to whether they performed the tasks, the time spent on the tasks, the level of expertise needed in specific skills and knowledges, where they learned to perform tasks, and how the task could best be learned. This information, after review by corrections experts and occupational specialists, provide the data for each of the following occupational analysis. The specific occupational analysis procedures are discussed in more detail in the methodology section of the Appendix.

To draw out training and education implications from the occupational analysis data, a general multi-step transformation is required. Since the occupational data collected are task-oriented, the first step is to identify the critical tasks as reported by incumbents. The second step is to identify the critical Knowledge Categories which underlie the tasks. This provides general information about knowledge and skill requirements, deficiencies, or training needs for each task. The third step is to identify the specific knowledges/skills subsumed within the Knowledge Categories, which generates specific information for suggesting conclusions and recommendations about training needs, deficiencies, and settings. It must be kept in mind that, given the small, nonrepresentative sample of key occupation incumbents on which the occupational analyses are based, all of the findings are suggestive only and cannot be generalized without qualification. The findings reported in the following section can best be used by policy makers and training managers for identifying possible training deficiencies and training issues deserving more systematic study.

1. Adult Institutional Correctional Officer

A significant portion of the occupational analysis data was collected on Task Checklists from 70 correctional officers working in adult institutions in ten states. The median age of these correctional officers was 29 years, 92 percent of whom were male and 90 percent white. The median level of formal education attained by these correctional officers was high school plus some college level coursework and they had 3.3 years median experience in corrections.

a. <u>Task and Knowledge Requirements</u>. On the basis of incumbent responses, reviews by correctional experts, and observations of incumbents in work settings, the job of adult institutional correctional officer comprises 17 tasks and 73 specific knowledges and skills required to perform these tasks. Not all knowledges or skills are needed to perform all tasks and different tasks entail different levels of knowledge/skill proficiency.

The current task and knowledge requirements for the job of adult institutional correctional officer is summarized in the Task-Knowledge matrix presented at the end of this analysis report. The cell entries of the matrix indicate the level of proficiency required in the specific knowledges and skills to perform specific tasks.

As presented in the matrix, the 17 essential tasks performed by correctional officers working in adult institutional settings are:

I.D. Code Tasks

- 1. Accepts custody of a suspect or offender in order to obtain information and to place offender/suspect on formal record of the facility.
- 2. Observes and controls movement of inmates in order to prevent disruptions or incidents and account for location and activities of inmates.
- 3. Monitors inmate visitations in order to maintain security and safety of inmates, visitors, and staff.

- 4. Intervenes in conflicts among inmates in order to prevent incidents which could trigger major disturbances.
- 5. Monitors feeding of inmates in order to prevent disruptions, unauthorized retention of contraband materials, and to assure that all inmates are fed at designated times.
- 6. Searches inmates, cell blocks and critical areas in order to detect, collect, and preserve evidence of contraband material.
- 7. Conducts investigations of interpersonal incidents in order to gather facts and evidence for future analysis.
- 8. Screens incoming and outgoing inmate mail and packages in order to efficiently process the mail and prevent transmittal of contraband.
- 9. Assigns tasks to inmates and monitors performance of inmates on assignments.
- 10. Advises inmates concerning personal, work, or adjustment problems in order to assist inmates to resolve problems.
- 11. Escorts and/or drives inmates between correctional institution and points outside in order to ensure prompt and safe delivery.
- 12. Talks/listens, discusses with inmates and staff members as a member of an Institutional Board in order to facilitate decisions concerning custody, discipline, treatment, and parole.
- 13. Makes oral or written recommendations and reports and performs routine administrative duties in order to provide inputs to decisions which will respond to specific institutional needs.
- 14. Responds to emergency situations in order to minimize adverse outcomes of events.
- 15. Maintains perimeter surveillance (patrols, television) of a correctional facility to prevent inmate escapes and introduction of contraband into the facility.
- 16. Orients, answers questions from, newly arrived inmates in order to acquaint new residents with the conditions, rules, benefits, aids, etc. of the correctional environment.
- *18. Conducts formal and informal training for correctional officers in order to assist the officer to gain proficiency and to improve job performance.

In terms of the percent of incumbents who reported they performed the tasks and the amount of time spent performing them, the most critical tasks are #2, 4, 5, 6, 9, 10, and 14. These tasks involve control and monitoring functions, conflict intervention, advising inmates, and responding to emergencies, thus representing the core of the correctional officer's responsibilities.

^{*}Task numbers relate to the number identifying tasks on the Task-Knowledge Matrix. During field work and analysis activities, some tasks from original lists have been deleted or combined into other tasks, which accounts for any missing number(s) above.

In contrast, tasks #1, 12, 13, and 18 are viewed as being less critical by incumbents. These tasks typically are not performed by all correctional officers, usually because they represent special assignments or are responsibilities of supervisors.

The 73 different knowledges or skills presented in the Task - Knowledge matrix represent the capabilities required of adult institutional correctional officers for them to perform their various tasks. The 73 specific knowledges or skills are classified under ten broad Knowledge Categories. These Knowledge Categories and the number of specific knowledges/skills subsumed within each are:

Knowledge Category

- A. Knowledge of the principles and procedures of correctional institution operations (18 knowledges/skills).
- B. Knowledge of policies and procedures for inmate transportation and movement (5 knowledges/skills).
- C. Knowledge of policies and procedures for handling emergencies (8 knowledges/skills).
- D. Knowledge of investigation and search procedures (7 knowledges/skills).
- E. Knowledge of policies and procedures for inmate intake to facility (8 knowledges/skills).
- F. Knowledge of supervision of corrections personnel and activities (10 knowledges/skills).
- G. Knowledge of work and treatment programs (6 knowledges/skills).
- H. Knowledge of staff/inmate interaction procedures (7 knowledges/skills).
- I. Knowledge of procedures for dealing with the public (1 knowledge/skill).
- J. Knowledge of general skills (3 knowledges/skills).

One way of thinking about the 73 specific knowledge/skills and 10 Knowledge Categories is that they represent the universe of what adult insitituional officers need to know in order to function acceptably on the job. It does not mean that all 73 knowledges/skills have to be known equally, that they

will be applied with the same frequency, or that they are important for performing all tasks. The meaning and significance of the specific knowledges/skills are better understood when they are related to the specific tasks that are performed by correctional officers in adult institutions. The Task - Knowledge matrix does this.

b. <u>Training and Education Implications</u>. While the Task-Knowledge matrix describes current job requirements, it does not indicate whether incumbent adult institutional correctional officers have received the appropriate training or education or whether their training or education was received in the optimal learning setting. Part of the occupational analysis effort generated data relative to these issues.

Three occupational analysis sources provide data for assessing training and education implications, (1) the Task - Knowledge matrix, (2) Task Checklist summaries which indicate incumbent responses on where they learned how to do specific tasks (i.e., in academic, formal training, or OJT settings) and whether their training was too little, about right, or too much, and (3) summaries from an equivalent set of incumbents as to where the tasks could best be learned.

Table VIII-IV-8 on the next page condenses the essential information from these three sources for assessing T&E implications. The left portion of the Table indicates the percent of specific skills in each Knowledge Category (i.e., A, B, ... J) that is required at a high level of expertise to perform each relevant task. The middle portion shows the percent of incumbents indicating where the task can best be learned. The right portion indicates where the majority of incumbents actually learned to perform the task and whether the amount of training was sufficient.

Table VIII-IV-8

Occupational Summary Data for

Adult Institution Correctional Officer

	FT FT FT FT FT AC AC OJT OJT One best way to learn															e acti learn	ually ed		Amoun	t of tr	aining
				Kno	wledg	e Cat	egory														
Tasks	A	В	С	D	E	F	G	Н	I	J		AC	FT	OJT	AC	FT	OJT			OK	+
1	0	0	0	29	50	20	17	71	0	0		7	27	53			1	Į	/		
2	28	0	25	0	13	0	17	86	0	0		3	40	47			/			~	
3	11	0	25	29	0	0	0	14	100	0		0	50	50			/			ノ	
4	28	0	38	0	0	0	0	86	0	0		0	50	50			/			~	
5	22	0	38	57	0	0	0	86	0	0		10	20	70			~			/	
6	28	0	25	86	13	10	0	86	100	0		0	36	61			/			/	
7	17	0	0	71	0	10	0	57	0	0		12	47	30			1		/		
8	6	0	0	43	0	0	0	0	0	0		0	25	56			1			V	
9	17	0	25	0	0	0	67	43	0	0		19	13	57			/			/	
10	6	0	0	0	0	0	17	57	0	0		31	25	43		,	V			~	
11	39	80	100	29	25	0	0	57	0	67		8	36	58			1			1	
12	44	0	0	0	25	0	100	86	0	0		33	22	22			1		/		
13	28	0	0	29	25	20	50	0	0	0		23	37	31			1			V	
14	56	40	63	0	0	0	0	86	0	0		0	80	10			1			7	
15	44	40	63	43	0	0	0	0	0	0		-	-	-			1			~	
16	22	20	0	0	25	0	33	71	0	0		-	-	-			1			V	
18	6	0	0	0	0	10	0	0	0	0		29	21	50			1			レ	
Average Percent	24%	11%	24%	24%	10%	4%	18%	52%	12%	4%				•							

AC = Academic FT = Formal Training OJT = On-the-job training

- = too little
OK = about right
+ = too much

Job Training/Education Requirements. The left columns of the c. Table summarize and describe the training/education requirements for adult institutional correctional officers, both in terms of general content and where training could best be administered. The column averages relate to content in that they indicate the percent of specific knowledges/skills within each Knowledge Category that the adult correctional officer must know at a high level of expertise. The column averages suggest too the relative critical significance of the various Knowledge Categories. Since 52% of the Knowledge Category H knowledges/skills (knowledge of staff/inmate interaction procedures) need to be known at a high level, we can suggest that they represent the most critical knowledge area for adult institutional correctional officers and, hence, represent a major training requirement. Likewise, Knowledge Categories A (knowledge of principles and procedures of correctional institution operations), C (knowledge of policies and procedures for handling emergencies), and D (knowledge of investigation and search procedures) would appear to be important training requirements. In contrast, knowledge of policies for inmate transportation (knowledge Category B) and knowledge of procedures for inmate intake to facility (Knowledge Category E) would not seem to be a major training requirement, given the relatively low percent of specific knowledges/ skills needed at high levels of expertise.

The second dimension of T&E requirements is where training could best be administered. Above each Knowledge Category letter in Table 8 is indicated where the specific knowledges/skills within that category could best be learned, as determined by independent ratings of five occupational specialists. The

knowledges/skills of Knowledge Category A can best be learned in formal training settings, those in Category B in a combination of formal training and OJT settings, and so forth.

(1) Amount of training. The Table shows that, for the most part, adult institutional correctional officers reported they were getting enough training to perform their duties. Training was deficient for three tasks, however. The first such task is task #1 (accepts custody of a suspect ...). Since Knowledge Category H is the single most important knowledge area for this task, our data would suggest that additional training in such areas as handling disturbed inmates, counseling techniques, and communicating in stress situations may be needed.

The second task judged to have too little training was task #7 (conducts investigations of interpersonal incidents ...), for which Knowledge Categories D and H are the critical knowledge areas. This suggests that additional training for the same category H knowledges/skills mentioned above may be needed as well as for such Category D knowledges as investigation procedures, report writing, identifying and preserving evidence, and searching.

The third task judged to have too little training was task #12 (talks/listens ... as member of institutional board ...). Categories G and H are critical for this task. Besides the additional training requirements for the previously mentioned Category H knowleges/skills, our data suggest additional training may be needed in such Category G knowledges/skills as the different types of work and treatment programs available and work release regulations.

(2) <u>Training settings</u>. The Table clearly indicates that incumbent adult institutional correctional officers have learned how to perform all

their specific tasks via on-the-job training. However, in terms of where incumbents think the tasks could best be learned, the data suggest that, for some tasks, academic and/or formal training is desirable. There are apparent discrepancies between actual and optimal training settings for adult institutional correctional officers.

On the basis of the occupational data and our considered judgments, the most critical discrepancies seem to be on how and where tasks 7, 10, 12, 13 and 14 are learned. These tasks are seen by incumbents as best learned in some combination of either formal training and/or academic settings. Since these tasks generally involve high levels of expertise of either Knowledge Category G or H, we can derive the following implications for training:

For Category G, knowledges relating to work and treatment programs can better be taught in academic and formal training settings than by OJT. For example, in the academic setting, such specific knowledges as types of programs and matching of inmate/institutional needs might be learned best. In the formal training setting, such knowledges as development of work plans, work release procedures and regulations, and criteria and procedures for entry and exit might be learned best.

For Category H, knowledges relating to staff/inmate interaction procedures can better be taught in academic and formal training settings than by OJT. For example, in the academic settings, such specific knowledges as personal characteristics of individuals and counseling techniques might best be learned. In the formal training setting, such specific knowledges as giving clear and complete instructions/information, handling of disturbed inmates, effect of staff actions on inmate behavior and communicating in stress situations might best be learned.

d. <u>Future Task and Knowledge Requirements</u>. What correctional officers in adult institutions will do and what they will need to know in five years time is hazardous to project, since unforseen practical and political realities often interfere with accomplishing philosophical goals and good intentions. However, on the basis of this occupational analysis, which includes both incumbent and expert viewpoints and interviews with corrections

executives and other corrections workers during field visits to state headquarters and institutions, several estimates of future task and knowledge requirement can be offered.

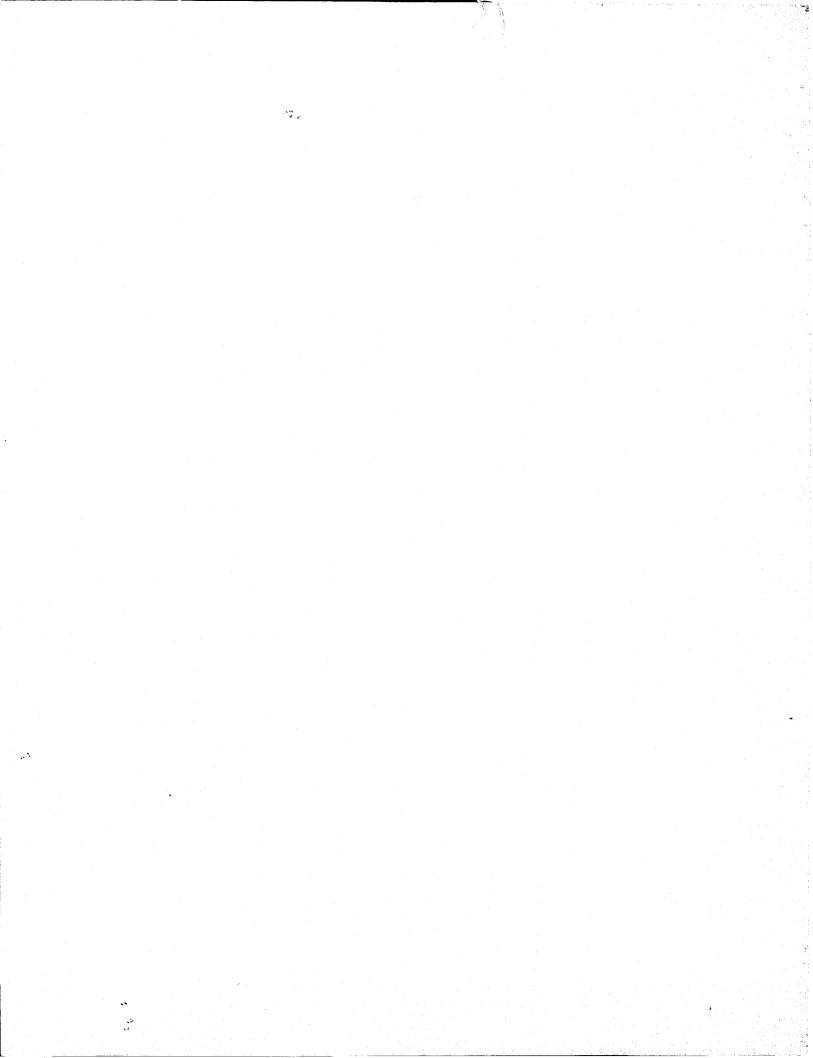
The correctional officer's job will continue to be defined by the prevailing philosophy and the size of institutions. To the extent that a department and institution emphasizes a treatment orientation over a solely custodial one, the correctional officer will be affected in how he interacts with inmates and what tasks he performs. All indicators suggest that, overall, correctional officers will become increasingly involved with casework/counseling, including drug and alcohol counseling, crisis intervention, and communication. There is evidence from some administrators of corrections institutions that some form of correctional officer - caseworker team approach will be initiated or refined which again will influence how correctional officers interact with inmates and what they need to know to ensure effective team functioning. This implies increased need for the specialized training mentioned above to complement the traditional security training, a trend which virtually every corrections executive and training director we interviewed listed as being a desired priority. In terms of the matrix, this means increased training in Knowledge Categories G and H.

Correctional officer tasks increasingly will change as a function of implementing technological advances. The use of television monitors and computerized systems for tracking location and movements of inmates will change in degree if not in kind how some correctional officer tasks are performed as evidenced by the experiences of several institutions. Increased and expanded training in Knowledge Categories A and D should be developed.

Greater differentiation between correctional officer tasks and functions in large, medium-sized (300-500 beds) and community based institutions needs

to be made. Smaller institutions tend to have more "open space," have different program alternatives, and handle different types of inmates. Evidence suggests this is recognized as is the need to provide training specific to type of institution. Increased training in knowledge Categories F, G, and H is called for.

To provide correctional officers with the knowledge and skills needed to perform effectively, more and better training can be expected over the next five years. The necessary training infrastructure, in large measure due to LEAA impact, is being established in increasing numbers of states—training staffs are on board, curricula are being developed, systematized, refined, and separate training facilities exist. Increased quality of training, added emphasis on in—service training, improved delivery systems, and sharpened definitions of objectives and standards can be expected in more and more states.



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14.physical facilities	13.use of miscellaneous equipment	12.principles/theories of LE/CJ system	11.inmate rights	10.institution's rules and regulations	9.general security procedures	8.facility, disciplinary and Board hearings	7.duty positions and posts	6.inmate count and control	5.use and maintenance of weapons	4.perimeter security	3.search procedures and identification of contraband	2.special procedures for visiting areas, dining areas, maximum security areas	1.observation and surveillance of inmates	Knowledge of the principles and procedures of correctional institution operations	Knowledges	TASK-KNOWLEDGE MATRIX Adult Institution Correctional Officer 4 = expert knowledge level 3 = high knowledge level 2 = moderate knowledge level 1 = slight knowledge level
			2.5	2	2			2.5					.5		1.	Accepts custody of a suspect or offender in order to obtain information and to place offender/suspect on formal record of the facility
			2	ω	2.7			ω		2.5	2.5	ω	ω		2.	Observes/controls movement of inmates in order to prevent disruptions or incidents and account for location and activities of inmates
					2			2			ω	ω	2.5		3.	Monitors inmate visitations in order to maintain security and safety of inmates, visitors, and staff
				2.5	ω						ω	3,5	ω		4.	Intervenes in conflicts among inmates in order to pr vent incidents which could trigger major disturbances
				2.5	2.5			З			3.2	ω	ω		5.	Monitors feeding of inmates in order to prevent disruptions, unauthorized retention of contraband materials, and to assure that all inmates are fed at designated times
	2		3	ω	ω	-					3.5		ω		6.	Searches inmates, cell blocks and critical areas in order to detect, collect, and preserve evidence of contraband material
	2		3	ω	2						2		ω	• • •	7.	Conducts investigations of interpersonal incidents in order to gather facts and evidence for future analysis
			2	2	2						3		,		8.	Screens incoming and outgoing inmate mail and packages in order to efficiently process the mail and prevent transmittal of contraband
1	1		2	ω									ω		9.	Assigns tasks to inmates and monitors per- formance of inmates on assignments
			2	2									3		10.	Advises inmates concerning personal, work, or adjustment problems in order to assist inmates to resolve problems
	з		1	3	ω				3		ω		ω		11.	Escorts and/or drives inmates between correctional institution and points outside in order to ensure prompt and safe delivery
3		3	2	3	3	3						-	3			Talks/listens, discusses with inmates and staff members, as a member of an Institutional Board in order to facilitate decisions concerning custody, discipline, treatment, and parole
		2	3	3	3	2	2					2			-	Makes oral or written recommendations and reports and performs routine administrative duties in order to provide inputs to decisions which will respond to specific institutional needs
	3		2	3	3		3	ω	3	w	ω	3.5	ω		14.	Responds to emergency situations in order to minimize adverse outcomes of events
2.5	2			3	3			3	3	3,8	ω		IJ		15.	Maintains perimeter surveillance (patrols, television) of a correctional facility to prevent inmate escapes and introduction of contraband into the facility
2			2	3	3	2						2				Orients, answers questions from newly arrived inmates in order to acquaint new residents with the conditions, rules, benefits, aids, etc. of the correctional environment
							3								18.	Conducts formal and informal training for cor- rectional officers in order to assist the officer to gain proficiency and to improve job performance
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		7.emergency plans/procedures	ú.use of weapons	5.use of first aid and emergency equipment	4.community and other resources for emergency assistance	3.civil liability of staff	2.resolving problems without physical intervention	1.cues for anticipating trouble	Knowledge of policies and procedures for handling emergencies	5.inmate transfer and discharge	4.court procedures	3.sources of emergency assistance	2.use of restraining equipment	l.required forms authorizing and controlling movement	Knowledge of policies and procedures for inmate transportation and movement	Knowledges		TASK-KNOWLEDGE MATRIX Institution Correctional Officer
	2.5			1.5		ш	2.5	2.5					1	2.7			1.	Accepts custody of a suspect or offender in order to obtain information and to place offender/suspect on formal record of the facility
							ω	3.5				1		2.0				Observes/controls movement of inmates in order to prevent disruptions or incidents and account for location and activities of inmates
	2	2		2			ω	ω				2.5		2.5			3.	Monitors inmate visitations in order to maintain security and safety of inmates, visitors, and staff
	3	ω		2	à.	٢	ω	ω			-						4.	Intervenes in conflicts among inmates in order to prevent incidents which could trigger major disturbances
		u		2			ω	w									5.	Monitors feeding of inmates in order to prevent disruptions, unauthorized retention of contraband materials, and to assure that all inmates are fed at designated times
	ω .					2		3					2				6.	Searches inmates, cell blocks and critical areas in order to detect, collect, and preserve evi- dence of contraband material
																	7.	Conducts investigations of interpersonal incidents in order to gather facts and evidence for future analysis
																	8.	Screens incoming and outgoing inmate mail and packages in order to efficiently process the mail and prevent transmittal of contraband
							ω	ω	-								9.	Assigns tasks to inmates and monitors per- formance of inmates on assignments
										2	2						10.	Advises inmates concerning personal, work, or adjustment problems in order to assist inmates to resolve problems
-	w	3	3	3	ω	w	ω	W		3	2	w	ω	ω			11.	Escorts and/or drives inmates between correctional institution and points outside in order to ensure prompt and safe delivery
																	12.	Talks/listens, discusses with inmates and staff members, as a member of an Institutional Board in order to facilitate decisions concerning custody, discipline, treatment, and parole
									-								13.	Makes oral or written recommendations and reports and performs routine administrative duties in order to provide inputs to decisions which will respond to specific institutional needs
\int	ω	3	ω	3		۲	ω	ω									14.	Responds to emergency situations in order to minimize adverse outcomes of events
	w	ω	ω			Ų		3		2		3		ω				Maintains perimeter surveillance (patrols, tele- vision) of a correctional facility to prevent in- mate escapes and introduction of contraband into the facility
										3	1						16.	Orients, answers questions from newly arrived inmates in order to acquaint new residents with the conditions, rules, benefits, aids, etc. of the correctional environment
								,									18.	Conducts formal and informal training for cor- rectional officers in order to assist the officer to gain proficiency and to improve job performance

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Tasks

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	intal	7.orientation of new inmates	6.search of inmates and identification of contraband material	5.photographing inmates	4.fingerprinting inmates	3.court records and requirements	2.inventory and accomplishment of proper forms	1.classification of offenders	Knowledge of policies and procedures for inmate intake to facility	7.principles of investigation	6.gathering and evaluating information about incidents	5.clues that a search should be made	4.report writing	3.mail and package inspections	2.identification, collection, documentation and preservation of evidence	1. personal and area searches	Knowledge of investigation and search procedures	Knowledges							-						1+ Institution Correctional Officer	•	TASK-KNOWLEDGE MATRIX	
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	3	ω						2									•			Or in th	ients, mates e cond e corr	an in iti	swe ord ons	er :	io a	acq	uai ben	nt efi	new	re	side	nts	with	
																			18.	re	nducts ctiona gain p	1 o	ffi	cer	s in	or	der	to	ass	ist	the	off	ice	

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6.matching inmate/institutional needs	5.work release procedures and regulations	nt of work p	3.knowledge of specific tasks	2.criteria and procedures for entry and exit	1.types of programs available	Knowledge of work and treatment programs	10.institutional lines of communication and action	9.institutional forms and procedures	8.principles of supervision/leadership	7.giving clear and complete instructions	6.inmate record preparation and filing	5.administrative report writing and presentation	4.metivation of inmates and subordinates	3.personnel actions	2.on the job training techniques and procedures	1.organizing and staffing crews and work shifts	F.Knowledge of supervision of corrections personnel and activities	Knowledges		TASK-KNOWLEDGE MATRIX Adult Institution Correctional Officer
				ω		-					W	ω					-		1.	Accepts custody of a suspect or offender in order to obtain information and to place offender/suspect on formal record of the facility
				ω															2.	Observes/controls movement of inmates in order to prevent disruptions or incidents and account for location and activities of inmates
																			3.	Monitors inmate visitations in order to maintain security and safety of inmates, visitors, and staff
				-			-												4.	Intervenes in conflicts among inmates in order to prevent incidents which could trigger major disturbances
																			5.	Monitors feeding of inmates in order to prevent disruptions, unauthorized retention of contraband materials, and to assure that all inmates are fed at designated times
		•							·			ω							6.	Searches inmates, cell blocks and critical areas in order to detect, collect, and preserve evidence of contraband material
												ω				·			7.	Conducts investigations of interpersonal incidents in order to gather facts and evidence for future analysis
												2				•			8.	Screens incoming and outgoing inmate mail and packages in order to efficiently process the mail and prevent transmittal of contraband
2.5		u	ω	ω	ω ,														9.	Assigns tasks to inmates and monitors per- formance of inmates on assignments
	–			1	w															Advises inmates concerning personal, work, or adjustment problems in order to assist inmates to resolve problems
	2						· ·					H .								Escorts and/or drives inmates between correctional institution and points outside in order to ensure prompt and safe delivery
w	ω	ω	ω	ω	Lυ														12.	Talks/listens, discusses with inmates and staff members, as a member of an Institutional Board in order to facilitate decisions concerning custody, discipline, treatment, and parole
		3	ω	•	ω	,		•			·	ω							13.	Makes oral or written recommendations and reports and performs routine administrative duties in order to provide inputs to decisions
F								•				i.						-	14.	which will respond to specific institutional needs Responds to emergency situations in order to minimize adverse outcomes of events
									•			. 2								Maintains perimeter surveillance (patrols, tele- vision) of a correctional facility to prevent in- mate escapes and introduction of contraband into the facility
	2		1	3	3					.							-		16.	Orients, answers questions from newly arrived inmates in order to acquaint new residents with the conditions, rules, benefits, aids, etc. of the correctional environment
						<u>;</u>						2.8	2.		2.5				18.	Conducts formal and informal training for cor- rectional officers in order to assist the officer to gain proficiency and to improve job performance

			.		H			•					Ħ	ſ	64	₹ viii – 3
3.typing	2.reading maps		Knowledge of general skills	1.communication with visitors	Knowledge of procedures for dealing with the public	7.counseling techniques	6.communicating in stress situations	5.informal communication	4.personal characteristics of individuals	3.effect of staff actions on inmate behavior	2.giving clear and complete instructions/information	1.handling of disturbed inmates	Knowledge of staff/inmate interaction procedures	KnowLeages	V50-10-49-0	TASK-KNOWLEDGE MATRIX Adult Institution Correctional Officer
2						1	ω	ω	2	ω	ω	ట			1.	Accepts custody of a suspect or offender in order to obtain information and to place offender/suspect on formal record of the facility
			· ·			1	ω	ယ	w	ω	ω	w			2.	Observes/controls movement of inmates in order to prevent disruptions or incidents and account for location and activities of inmates
				ω			2	2	2	2	2	ω			3.	Monitors inmate visitations in order to main- tain security and safety of inmates, visitors, and staff
							w	3	ω	ω	w	ω •			4.	Intervenes in conflicts among inmates in order to prevent incidents which could trigger major disturbances
							ω	ω	ω	ω	ω	ω			5.	Monitors feeding of inmates in order to prevent disruptions, unauthorized retention of contraband materials, and to assure that all inmates are fed at designated times
				ω			ω	ω	ယ	ω	ω	ω			6.	Searches inmates, cell blocks and critical areas in order to detect, collect, and preserve evidence of contraband material
							2.5		w	ω	ω	ω				Conducts investigations of interpersonal inci- dents in order to gather facts and evidence for future analysis
					·										·8.	Screens incoming and outgoing inmate mail and packages in order to efficiently process the mail and prevent transmittal of contraband
							w		2	2	ω	ω			9.	Assigns tasks to inmates and monitors per- formance of inmates on assignments
							3	2	2	ω	3	u			10.	Advises inmates concerning personal, work, or adjustment problems in order to assist inmates to resolve problems
	ω	ω					ω	2	2	ω	ω	w			11.	Escorts and/or drives inmates between correctional institution and points outside in order to ensure prompt and safe delivery
							w	3	ω	ω	u	ω				Talks/listens, discusses with inmates and staff members, as a member of an Institutional Board in order to facilitate decisions concerning custody, discipline, treatment, and parole
																Makes oral or written recommendations and reports and performs routine administrative duties in order to provide inputs to decisions which will respond to specific institutional needs
							ω	ω	w	ω	3	ω		T	14.	Responds to emergency situations in order to minimize adverse outcomes of events
															15.	Maintains perimeter surveillance (patrols, tele- vision) of a correctional facility to prevent in- mate escapes and introduction of contraband into the facility
							w	. 3	ш	ω	ω	w				Orients, answers questions from newly arrived inmates in order to acquaint new residents with the conditions, rules, benefits, aids, etc. of the correctional environment
																Conducts formal and informal training for cor- rectional officers in order to assist the officer to gain proficiency and to improve job performance

2. Adult Institution Caseworker/Counselor

This occupational analysis is based on information obtained from 61 counselor/caseworkers working in adult correctional institutions in ten states. The median level of education of these counselors is college graduate plus some graduate course work. They have a median 3-8 years experience in corrections, and their median age is 29 years old. The sample comprised 87 percent male and 13 percent female counselors; 85 percent were white, 7 percent black, and 8 percent were other ethnic backgrounds.

a. <u>Task and Knowledge Requirements</u>. The job of adult institution counselor can be described in terms of 15 tasks and 69 specific knowledges and skills needed to perform the tasks. Not all the knowledges and skills are required for all tasks and different tasks entail different levels of expertise in the knowledges/skills.

The relationship of the knowledges/skills to the tasks is shown in the Task-Knowledge matrix at the end of this analysis. The cell entries of the matrix indicate the level of proficiency required in specific knowledges and skills in order for counselors to perform the specific tasks. The Task-Knowledge matrix essentially illustrates the current task and knowledge requirements for adult institution counselors/caseworkers.

The 15 basic tasks performed by counselors in adult corrections institutions are:

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Task

- 2. Interviews client and administers tests to identify and classify client's skills, abilities and interests.
- 3. Establishes periodic verbal or personal contact schedule with client and interviews client on conformance to conditions of incarceration.
- 4. Establishes and posts case file and evaluates information to determine client's progress and needs.

- 5. Receives and takes action on complaints against client
- 7. Negotiates and develops individual treatment program for corrections client and assists client in implementing program
- 9. Advises and counsels clients, individually or in groups, concerning conditions of incarceration, employment, housing, education, community services, and management of personal affairs to establish realistic and socially acceptable behavior patterns
- 10. Advises and counsels client's family, or complainants on problems in dealing with client
- 11. Prepares recommendations, reports and dispositional plans on clients for court, parole board or classification board.
- 12. Testifies at judicial proceedings, parole boards or committees as expert witness to evaluate client progress, and assist in decision making
- 14. Establishes and develops contact with potential employers of clients
- 15. Contacts and consults with community agencies, individuals and commercial firms to evaluate and establish resources for client treatment and assistance
- 16. Promotes and explains correctional programs to improve public understanding and support of programs
- 17. Coordinates use of citizen volunteers in correctional activities
- 18. Attends meetings, hearings and legal proceedings to gather and exchange information and provide input to decisions regarding clients
- *19. Coordinates information and plans concerning clients among law enforcement/criminal justice agencies, client's family, community agencies and commercial firms

The most critical tasks, in terms of percent of incumbents reporting they performed them and the amount of time spent on them, are tasks #3, 4, 7, 9, and 11. These tasks represent core job activities in that they involve direct contact with the client or entail recommendations and decisions based on relevant client information.

^{*}The task numbers above relate to the numbers which identify tasks on the Task-Knowledge matrix. Throughout field work and analysis activities, some tasks on original lists have been deleted or combined to make the job tasks more relevant, which accounts for the missing numbers above.

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The 69 specific knowledges and skills presented in the Task-Knowledge matrix represent the capabilities required of counselors to perform the tasks.

These are placed under six broad Knowledge Categories as shown below:

Knowledge Category

- A. Knowledge of the judicial and correctional system (10 knowledges/skills).
- B. Knowledge of case files and information gathering (8 knowledges/skills).
- C. Knowledge of planning, managing and administering a counseling program (18 knowledges/skills).
- D. Knowledge of theories, principles and techniques of individual and group counseling (9 knowledges/skills).
- E. Knowledge of human personality, dynamics, handicaps, communication and specialized terminology (14 knowledges/skills).
- F. Ability to organize data, interact with clients, and coordinate efforts (10 knowledges/skills).

The Task-Knowledge matrix indicates what counselors in adult correctional institutions typically do and what they need to know at what level of expertise in order to perform their job effectively. In addition, the matrix information has implications for the training and education needs of counselors.

b. Training and Education Implications. While the Task-Knowledge matrix describes current job requirements, it does not indicate whether incumbent counselors have received the appropriate training or whether the training or education was received in the optimal learning settings. Three occupational analysis sources provide data for deriving T&E implications, (1) the Task-Knowledge matrix, (2) Task Checklist summaries which indicate incumbent responses on where they learned how to do specific tasks (i.e., in academic, formal training, or OJT settings) and whether the training received was too little, about right, or too much, and (3) summaries from an equivalent set of incumbents as to where the tasks could best be learned. Table VIII-IV-9 on the next page summarizes the essential information from these three sources for assessing T&E implications.

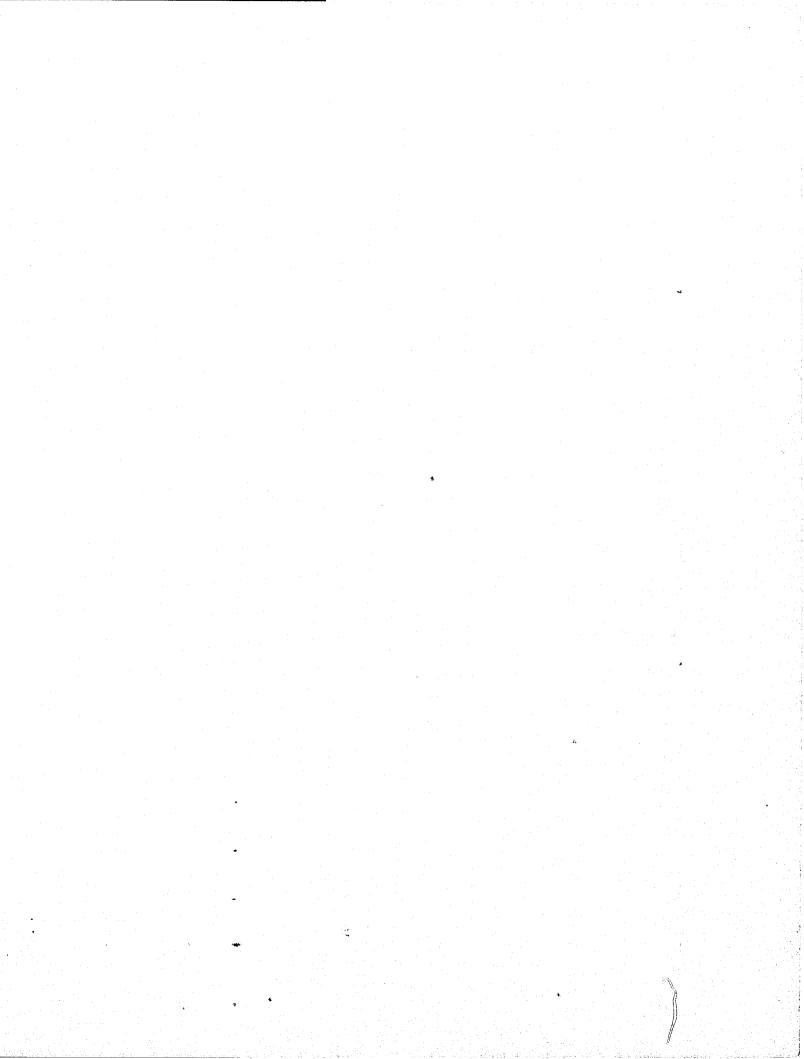


Table VIII-IV-9 Occupational Summary Data for Adult Institution Caseworker

	AC/ FT	FT	FT	AC	AC	FT/ OJT		best o lea	way rn		Where a	ctually	learned		Amount	of Tr	aining
		Kno	wledge	Categ	ory										-		
*Tasks	A	В	С	D	E	F	AC	FT	OJT		AC	FT	OJT	ļ. -	_	OK	+
2	10	100	20	50	19	80	21	46	29				~			/	
3	40	25	40	40	0	50	-	<u>-</u>	_				1			/	
4	30	75	40	20	19	40	6	6	82				/			1	
5	0	38	20	20	25	80		_	_				1			1	2.
7	50	25	60	30	25	90	17	21	49				/		~		
9	40	88	50	70	44	90	14	35	39						/		
11	20	25	20	20	0	10	42	21	33				/			1	
12	0	0	5	0	0	10	14	57	29				/			\	
14	10	0	20	0	6	10	30	0	60				/			1	
17	10	0	10	10	6	10	20	47	13				/			/	
18	40	13	25	20	0	20	22	15	50	į.							
Average Percent	23%	35%	28%	25%	13%	45%				•				•			

AC = Academic

OK = about right

= = too much

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^{- =} too little

FT = Formal Training

OJT = On-the-job training

^{*}Because of time limitations, the job experts did not review four of the fifteen tasks during the occupational conferences. These tasks were #10, 15, 16, and 19, all of which were rated by incumbents as being non-critical.

c. <u>Job Training/Education Requirements</u>. The left portion of the Table describes the training/education requirements, in both terms of training content, and where training can best be administered. Required training content is suggested by the column averages, which indicate the percent of specific knowledges and skills in each Knowledge Category that must be comprehended at a high level of expertise. <u>Where</u> the specific knowledges and skills can best be learned, as determined by independent ratings of five staff occupational specialists, is indicated above each letter identifying the knowledge categories (i.e., A, B, ... F).

The data suggest that Knowledge Category F (ability to organize data, interact with client ...) is the most critical knowledge area for counselors working in adult institutions, since 45% of the specific knowledges/skills comprising that Category need to be known at a high level. The need for effective training in this area is directly implied. Similarly, adequate training or preparation in Knowledge Categories B (knowledge of case files ...), C (knowledge of planning ... counseling program), and D (knowledge of ... individual and group counseling) would seem important, since 25% or more of the specific knowledges/skills comprising these categories are required at a high level of expertise for doing the job.

(1) Amount of training. The data in the Table show that, overall, incumbent counselors deemed they had sufficient training to perform job tasks. The exceptions were tasks #7 (... developes individual treatment programs ...) and #9 (advises and counsels client's family ...). Since Knowledge Category F is the most critical knowledge area for both, the need for more or better training in such specific constituent knowledges/skills as how to instill confidence with client and family, how to handle reluctant interviewees and establish rapport is suggested.

(2) Training settings. As indicated in the Table, incumbent counselors reported learning all their job tasks by OJT. Yet, they view academic and formal training as desirable for learning some tasks. The discrepancy between actual and desired training settings appears most pronounced for learning tasks #2, 9, and 11. Since these tasks generally involve high expertise in the specific knowledges and skills of Knowledge Categories B and F, the following implications for training are suggested:

For Category B, knowledge of case files and information gathering can be taught and learned better in formal training than by OJT. For example, specific skills such as investigative techniques and preparing case histories and specific knowledges about how to interpret and assess family history, behavioral patterns, past criminal activity, and medical, social and educational history could all be learned effectively in formal training.

For Category F, ability to organize data, interact with clients, and coordinate efforts can be learned in formal training as well as by OJT. How to identify pertinent data, organize it, and assess its relevancy are specific areas more efficiently learned in formal training. Learning basic interview skills and techniques for instilling confidence and establishing rapport with clients also is better in formal training setting. However, to apply and refine these skills can best be done by supervised OJT with actual clients and under normal working conditions.

d. Future Task and Knowledge Requirements. Two major determinants of what counselors in adult correctional institutions will be required to do and what they will need to know in five years are the size of caseloads and the nature of the incarcerated inmate/clients. Incumbents, institution administrators, and corrections executives interviewed virtually all agree that caseloads will remain high and that the inmates in large institutions increasingly will represent "harder core," more difficult and complex clients. The counselor's job will be more demanding and difficult. Certainly, knowledge about and skills in a variety of counseling principles and techniques will be a continuing need, but counselors will have to be more effective in such Knowledge Category D knowledges/skills as crisis intervention,

interpersonal skills, communicating with inmates, and methods of observing, evaluating, and assessing inmate's behavior.

In addition, increased capability with dealing with drug abuser and alcoholic clients will be required to cope effectively with the increasing numbers of inmates who have a history of substance abuse.

Increased knowledge about ethnic customs and mores will be needed by counselors to communicate, and make impact on inmates of different racial backgrounds. The majority of counselors are white and the majority of inmate/clients in many institutions are non-white. Counselors can be expected to increase competence in such Knowledge Category E areas as group dynamics and ethnic motivations and lifestyles.

There is some movement toward team approaches. This points to a need to coordinate activities with correctional officers and the need to understand problems of custodial requirements.

Trends toward mandatory minimum sentences and voluntary treatment point to the opportunity for much more intensive, individualized casework over a long period of time. As opposed to the present situation of very cursory interaction with inmates, caseworkers will probably have to apply their treatment skills in much greater depth.



8.investigative techniques	7.preparation of case history	6.past criminal activity	5. medical, social, educational history	4.attitude	3.economic status	2.behavior patterns	1. family history	B. Knowledge of case files and information gathering	10.correctional institution operations	9.institution's policies, guidelines, procedures	8.laws, rules pertaining to parole	7.intake operations	6.interrelationship of the components of the system	5. future trends in corrections and parole	4.organization of law enforcement agencies	3.philosophy goals and objectives of parole	2. functions of the corrections institution	1.role of the court in the administration of justice	lge of the jud	Knowledges	Adult Institution Caseworker 4 - expert knowledge level 3 - high knowledge level 2 - moderate knowledge level 11 - slight knowledge level 11 - slight knowledge level
u	w	ω	w	3	w	w	u					w								2.	. Interviews client and administers tests to identify and classify client's skills, abilities and interests
1			2.5	3		w			w	w			ω				w			3.	. Establishes periodic verbal or personal contact schedule with client and interviews client on conformance to conditions of incarceration
	3	3	ω	3	3	w	w		w	W	2.2	W	2.5		2	2	2	2		4.	. Establishes and posts case file and evaluates in- formation to determine client's progress and needs
u				3		w			2.5				2.5				2.5			5.	 Receives and takes action on complaints against client
			2.5	3		IJ			u	w	w		ω	1		. 2	u			7.	 Negotiates and develops individual treatment pro- gram for corrections client and assists client in implementing program
3		3	ω	3	3	u	u		3	w	2.5	1	ω	1	2	2	ω	2.5		9.	Advises and counsels clients, individually or in groups, concerning conditions of incarceration, employment, housing, education, community services, and management of personal affairs to establish realistic and socially acceptable behavior patterns
																		-		10.	. Advises and counsels client's family, or complain- ants on problems in dealing with client
2.6	3.4				2.4		ω				2.7					2.8		2.6		11.	. Prepares recommendations, reports and dispositional plans on clients for Court, Parole Board or Classification Board
2.6																		2.6		12.	. Testifies at judicial proceedings, parole boards, or committees as expert witness to evaluate client progress, and assist in decision making
									Γ							2.8				14.	. Establishes and develops contact with potential employers of clients
																3				15.	 Contacts and consults with community agencies, in- dividuals and commercial firms to evaluate and establish resources for client treatment and assistance
																				16.	 Promotes and explains correctional programs to improve public understanding and support of programs
																	3.2		-	17.	. Coordinates use of citizen volunteers in correctional activities
	3.4										2.7		2.9			2.8	w			18.	 Attends meetings, hearings and legal proceedings to gather and exchange information and provide input to decisions regarding clients
																				19.	. Coordinates information and plans concerning clients among law enforcement/criminal justice agencies, client's family, community agencies and commercial firms

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18.referral procedures		<pre>16.identification of individual client needs, abilities, interests</pre>	hearing and Board procedures	14.institution's work and treatment opportunities	13. sources and methods for eliciting information	12. probation and parole forms, records and files	ll.supervision and management techniques	10.reports and correspondence writing	9.principles, purposes and benefits of training and education for offenders	progress and adj	7.capabilities and limitations of local social service agencies	6.development and assessment of individual parole plans	5.coordinating client and employer interests	4.use of volunteers and community resources in parcle	to home, school, work, agency	ns of behavior	1.citent history	C. Knowledge of planning, managing and administering a counseling program	Knowledges	Adult Institution Caseworker Adult Institution Caseworker
		ω			IJ											3	3		2.	. Interviews client and administers tests to identify and classify client's skills, abilities and interests
2	2	ω		3	3		ω	w	w	3						u	3		3.	Establishes periodic verbal or personal contact schedule with client and interviews client on conformance to conditions of incarceration
	2	IJ	w	2.5	3	2	2.5		ω	w		2.5				3	3		4.	Establishes and posts case file and evaluates in- formation to determine client's progress and needs
2	2.5	ω	2.5	2.5	ယ		w	2.5	1	w			2.5			2.5	2.5		5.	Receives and takes action on complaints against client
2.5	2.5	u	2.5		3	ω	3.7	w		w		ω	w			3	3		7.	Negotiates and develops individual treatment pro- gram for corrections client and assists client in implementing program
	2.5	3	2	w	ω	u	ω	w	ω	ω	2.5	2.5	2.5			3	W	•	9.	Advises and counsels clients, individually or in groups, concerning conditions of incarceration, employment, housing, education, community services, and management of personal affairs to establish realistic and socially acceptable behavior patterns
			Γ															-	10.	Advises and counsels client's family, or complain- ants on problems in dealing with client
						2.9	2.7	3.1			2.8			2.6					11.	Prepares recommendations, reports and dispositional plans on clients for Court, Parole Board or Classification Board
								3.1						,					12.	Testifies at judicial proceedings, parole boards, or committees as expert witness to evaluate client progress, and assist in decision making
							2.7	3.1			2.8	2.9	2.3	2.6				·	14.	Establishes and develops contact with potential employers of clients
																			15.	Contacts and consults with community agencies, individuals and commercial firms to evaluate and establish resources for client treatment and assistance
																			16.	Promotes and explains correctional programs to improve public understanding and support of programs
				Ĺ			2.7					2.9		2.6					17.	Coordinates use of citizen volunteers in correctional activities
						2.9	2.7	3.1			2.8	2.9	2.3	2.6					18.	Attends meetings, hearings and legal proceedings to gather and exchange information and provide input to decisions regarding clients
																			19.	Coordinates information and plans concerning clients among law enforcement/criminal justice agencies, client's family, community agencies and commercial firms

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Tasks

14.ethnic customs and mores	13. basic communication skills	analysis and def	mental hand	9. street terminology	8.gang behavior	•	6.alcoholism and drug addiction	5.defenses, neuroscs, psychoses	4.aptitudes, interests and motivations	dynamics	1.personality development	E. Knowledge of:	9. inmate observation, evaluation and assessment	rk supervision	stance	personal and family p	5.individual and group counseling procedures		∙ •	ure on modern counse		D. Knowledge of theories, principles and techniques of individual and group counseling	6 Knowledges	Adult Institution Caseworker Adult Institution Caseworker
2.5	3.5	2 2	2	2	2	2	2.5	2.5	ω	2.5	2.5		3.5			ω	ω	2	w	- 1	υ 5		2.	Interviews client and administers tests to identify and classify client's skills, abilities and interests
													ω		۲	2	ယ	2		2	ა. 5	•	3.	Establishes periodic verbal or personal contact schedule with client and interviews client on conformance to conditions of incarceration
2.5	u	ω	2	2	2	2	2.5	2.5	ω	2.5	2.5		ω	ω					2.5				4.	Establishes and posts case file and evaluates in- formation to determine client's progress and needs
2.5	w	·ω	2	2	2	2	2.5	2.5	3	2.5	2.5		2.5	2.5			2.5	3.5		2	ω		5.	Receives and takes action on complaints against client
2.5	w	ω	2.5		2	2	2.5	2.5	u	2.5	2.5		ω	3		2	Н	2		2	ω		7.	Negotiates and develops individual treatment pro- gram for corrections client and assists client in implementing program
2.5	3	υ	2	2	2	ļ	2.5	2.5	3	ω	ယ		u	3	اد	ω		3	2	2	ა. 5	•	9.	Advises and counsels clients, individually or in groups, concerning conditions of incarceration, employment, housing, education, community services, and management of personal affairs to establish realistic and socially acceptable behavior patterns
																							10.	Advises and counsels client's family, or complain- ants on problems in dealing with client
7															2.6			2.9			3.4	-	11.	Prepares recommendations, reports and dispositional plans on clients for Court, Parole Board or Classification Board
																	-						12.	Testifies at judicial proceedings, parole boards, or committees as expert witness to evaluate client progress, and assist in decision making
								2.8							2.6								14.	Establishes and develops contact with potential employers of clients
																							15.	Contacts and consults with community agencies, in- dividuals and commercial firms to evaluate and establish resources for client treatment and assistance
												-											16.	Promotes and explains correctional programs to improve public understanding and support of programs
									w						2.6					2.2	3.4		17.	Coordinates use of citizen volunteers in correctional activities
															2.6		2.8				3.4		18.	Attends meetings, hearings and legal proceedings to gather and exchange information and provide input to decisions regarding clients
																							19.	Coordinates information and plans concerning clients among law enforcement/criminal justice agencies, client's family, community agencies and commercial firms

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10.give oral presentations	9. clarify issues	8. coordinate individual efforts with others	7.assess relevancy of information	6.handle interviewees reluctant to talk	5. instill confidence with client and family	4.establish rapport with client	3.grasp feelings of interviewee	2.detect discrepancies in information	1.organize factual data	Ability to:	Knowledges	TASK-KNOWLEDGE MATRIX
	ω		3	ω.	ω	ω	ω	3	ω		2.	Interviews client and administers tests to identify and classify client's skills, abilities and interests
	W		3	w				3	ω		3.	Establishes periodic verbal or personal contact schedule with client and interviews client on conformance to conditions of incarceration
	ω		3					ω	ω		4.	Establishes and posts case file and evaluates in- formation to determine client's progress and needs
	ω	ω	3	w	2	ω	ω	ω	ω		5.	Receives and takes action on complaints against client
w	3	3	ω	ω	2	w	ω	ω	3		7.	Negotiates and develops individual treatment program for corrections client and assists client in implementing program
-	3	3	ω		3.5	3.5	3.5	ω	з		9.	Advises and counsels clients, individually or in groups, concerning conditions of incarceration, employment, housing, education, community services, and management of personal affairs to establish realistic and socially acceptable behavior patterns
											10.	Advises and counsels client's family, or complainants on problems in dealing with client
									3.2		11.	Prepares recommendations, reports and dispositional plans on clients for Court, Parole Board or Classification Board
									3.2		12.	Testifies at judicial proceedings, parole boards, or committees as expert witness to evaluate client progress, and assist in decision making
						3.4					14.	Establishes and develops contact with potential employers of clients
											15.	Contacts and consults with community agencies, in- dividuals and commercial firms to evaluate and establish resources for client treatment and assistance
											16.	Promotes and explains correctional programs to improve public understanding and support of programs
					3.1	3.4					17.	Coordinates use of citizen volunteers in correctional activities
									3.2		18.	Attends meetings, hearings and legal proceedings to gather and exchange information and provide input to decisions regarding clients
											19.	Coordinates information and plans concerning clients among law enforcement/criminal justice agencies, client's family, community agencies and commercial firms

Tasks

3. Adult Community-Based Counselor/Caseworker

This occupational analysis is based on information collected from seven counselor/caseworkers working in adult community-based correctional facilities in several states. The small number of incumbents dictates caution in interpreting findings. The median level of education attained by these counselors was a 4-year college degree and they have a median 3.5 years experience in corrections. The counselors all were male and their median age was 29 years. As previously noted, the findings and implications discussed in this section are suggestive only.

a. <u>Task and Knowledge Requirements</u>. The adult community-based counselor's job can be described as consisting of 16 tasks and 68 specific knowledges and skills needed to perform the tasks. Not all skills and knowledges are needed for all tasks and different tasks entail different levels of expertise in the knowledges/skills.

The relationship of specific knowledges/skills to the tasks is shown in the Task-Knowledge matrix at the end of this analysis. The cell entries of the matrix, which were determined by incumbent counselors and corrections experts, indicate the proficiency required in specific knowledges/skills for counselors to perform specific tasks.

The 16 tasks performed by counselors are:

I.D.Code Tasks

- 2. Interviews client to identify and classify client's skills, abilities and interests.
- 3. Establishes periodic verbal or personal contact schedule with client and interviews client on conformance to conditions of incarceration.

- 4. Establishes and posts case file and evaluates information to determine client's progress and needs.
- 5. Receives and takes action on complaints against client.
- 6. Modifies correctional program in view of client's needs and progress.
- 7. Negotiates and develops individual treatment program for corrections client and assists client in implementing program.
- 9. Advises and counsels clients, individually or in groups, concerning conditions of incarceration, employment, housing, education, community services, and management of personal affairs to establish realistic and socially acceptable behavior patterns.
- 10. Advises and counsels client's family or complainants on problems in dealing with client.
- 11. Prepares recommendations, reports and dispositional plans on clients for court, parole board or classification board.
- 12. Testifies at judicial proceedings, parole boards or committees as expert witness to evaluate client progress, and assist in decision making.
- 14. Establishes and develops contact with potential employers of clients.
- 15. Contacts and consults with community agencies, individuals and commercial firms to evaluate and establish resources for client treatment and assistance.
- 16. Promotes and explains correctional programs to improve public understanding and support of programs.
- 17. Coordinates use of citizen volunteers in correctional activities.
- 18. Attends meetings, hearings and legal proceedings to gather and exchange information and provide input to decisions regarding clients.
- *19. Coordinates information and plans concerning clients among law enforcement/criminal justice agencies, client's family, community agencies and commercial firms.

^{*}The task numbers above relate to the numbers which identify tasks on the Task-Knowledge matrix. During field work and analysis activities, some tasks on original lists have been deleted or combined to make the job tasks more relevant, which accounts for the missing numbers above.

The most critical tasks, in terms of the percent of incumbents reporting they performed them and the amount of time spent on them, are tasks #3, 4, 7, and 9. All of these tasks involve direct contact with clients or the use of client information to make recommendations. As such, these tasks constitute core job activities for counselors in community-based facilities.

The 68 specific knowledges and skills presented in the Task-Knowledge matrix represent the capabilities required by counselors to perform the tasks.

These all fall under the six broad Knowledge Categories shown below:

Knowledge Category

- A. Knowledge of the judicial and correctional systems (8 knowledges/skills)
- B. Knowledge of case files and information gathering (8 knowledges/skills)
- C. Knowledge of planning, managing and administering a counseling program (19 knowledges/skills)
- D. Knowledge of theories, principles and techniques of individual and group counseling (9 knowledges/skills)
- E. Knowledge of human personality, dynamics, handicaps, communication, and specialized terminology (14 knowledges/skills)
- F. Ability to organize data, interact with clients, and coordinate efforts (10 knowledges/skills)

The Task-Knowledge matrix indicates what counselors in community-based facilities typically do and what they need to know at what level of expertise in order to perform their job effectively. In addition, the matrix information has implications for the training and education (T&E) needs of counselors.

b. Training and Education Implications. Three occupational analysis sources provide data for deriving implications about T&E issues:

(1) the Task-Knowledge matrix, (2) Task Checklist summaries which indicate incumbent responses on where they learned how to perform specific tasks (i.e., in academic, formal training, or OJT settings) and whether the training received was too little, about right, or too much, and (3) summaries from an equivalent set of incumbents as to where the tasks could be learned. Table

VIII-IV-10 on the next page summarizes the essential information from these three sources for assessing T&E implications.

Table defines the training/education requirements for counselors, both in terms of training content and where training can best be administered. Required training content is suggested by the column averages, which represent the percent of specific skills and knowledges in each Knowledge Category that must be comprehended at a high level of expertise. Where specific knowledges/skills can be learned most effectively, as determined by independent ratings of five staff occupational specialists, is shown above each letter identifying the Knowledge Categories (i.e., A, B, ... F).

On the basis of the Table data, Knowledge Category F (ability to organize, interact with client ...) is the most critical knowledge area of community-based counselors, since high proficiency is needed in 46% of its specific knowledges/skills. The need for effective training in this area is a consequent implication. The need for adequate training in Knowledge Category C (knowledge of planning ... counseling program) is similiarly indicated, given that 34% of its specific knowledges/skills entail high proficiency for job performance.

(1) Amount of training. As shown by the Table, incumbent counselors reported that they had sufficient training to perform job tasks. The sole exception is for Task #18 (Attends ... hearings and legal proceedings ... to provide input ... regarding clients). Since Knowledge Category F is the most critical area for this task, the need for more or better training in its constituent knowledges/skills such as giving oral presentations, organizing information and assessing its relevancy, and coordinating individual efforts with others is suggested.

Table VIII-IV-10 Occupational Summary Data for Adult Community-Based Counselor/Caseworker

	AC/ FT	FT	FT	AC	AC	FT/ OJT
Tasks	A	В	С	D	E	F
2	10	25	30	20	21	50
3	0	25	35	30	21	60
4	10	88	60	30	29	40
5	10	38	40	50	43	60
6	0	0	60	50	14	70
7	0	0	60	50	21	90
10	0	38	20	20	29	30
11	10	75	40	20	14	50
12	0	50	30	0	14	60
14	0	0	40	20	21	20
15	0	13	35	20	36	20
16	20	0	0	0	21	20
17	30	0	20	20	21	30
18	10	25	25	20	14	50
19	30	25	20	0	14	40
Average Percent	9%	27%	34%	23%	22%	46%

		5110 CZ (
	best lear	
AC	FT	OJ
21	46	29
-	-	-
6	6	82
_	-	_
6	6	82
17	21	49
_	-	<u>-</u>
42	21	33
14	57	29
30	0	60
	-	-
_	_	_
20	47	13
22	15	50
_	_	_

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AC	FT	OJ		-	ок	+
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AC = Academic - = too little

= Formal Training FT

OK = about right

OJT = On-the-job-training + = too much

(2) <u>Training settings</u>. The middle two columns of the Table show incumbent counselors' reports about where they learned to perform specific tasks and where the tasks could better be learned. The greatest discrepancy between actual and optimal training settings is most pronounced for tasks #11, 12, and 17. Since these tasks generally involve high expertise in the specific skills and knowledges of Knowledge Categories B and/or F, the following training implications are suggested:

For Category B, knowledge of case files and information gathering can be learned more effectively in formal training than by OJT. Specific skills, for example, such as investigative techniques and preparing case histories, and specific knowledges about how to interpret and assess family history, behavioral patterns, post-criminal activity, and medical, social and educational history are all suitable for formal training.

For Category F, ability to organize data, interact with clients and coordinate efforts with others can be learned in formal training as well as by OJT. Formal training seems more effective in learning how to identify pertinent data, organize it, and assess its relevancy. Learning basic interview skills and ways to build confidence and establish rapport with clients also is more efficient in formal training. However, refining these skills can best be accomplished in supervised OJT settings involving actual clients and normal environmental conditions.

d. <u>Future Task and Knowledge Requirements</u>. The community-based correctional facility provides a working environment quite different from the traditional corrections institution. There is less emphasis on security, considerable interaction of residents with various sectors of the community, more highly motivated residents, and a general rehabilitative oriented philosophy. All of these factors affect how counselors perform their job and the skills and knowledges they are required to apply.

Incumbent counselors, community-based facility administrators, and corrections executives interviewed during our field visits all generally agree that changes in task and knowledge requirements will evolve gradually during the

next five years from current practices. The consensus of these sources suggest several trends that will affect future job requirements.

The trend toward community-based corrections will continue, increasing both the number of facilities and size of correctional staff. With this expansion of correctional staff will come the need for more specialization of counselor duties. Counselors specifically will need to have more effective capabilities to work with community volunteers, employers, education agencies, and client families.

There is very little differentiation in the training given to counselors destined to work in community-based facilities and those in more traditional and larger institutions. The evidence collected from various corrections training academies and directors of training confirm this. While formal training for counselors is being implemented in an increasing number of states, minimal attempt to tailor training to eventual assignment is apparent. Increased effort to train community-based counselors in specific skills related to family counseling, community resource development, and utilization of volunteers can be expected during the next five years.

The results of the executive survey conducted by BSSR and reported elsewhere in this series demonstrate that psychologists, social workers, case aides, vocational teachers and academic teachers are all used as counselors in corrections as well as individuals trained in counseling. Since this will very likely continue in the future, there will be increased need for better skills in coordinating individual efforts with others and in developing multi-disciplinary but integrated counseling programs which accommodate a variety of client needs and corrections objectives.

								B									>		86E - IIIV \$
8.investigative techniques	7. preparation of case history	6.past criminal activity	5.medical, social, educational history	4.attitude	3.economic status	2.behavior patterns	1.family history		8.correctional facility operations	7.institution's parole policies, guidelines, procedures	6. intake operations	ip of the compone	4.organization of law enforcement agencies	3.philosophy goals and objectives of parole and probation	2. functions of the corrections facility	1.role of the court in the administration of . justice	Knowledge of the judicial and correctional systems	Knowledges	Adult Community-Based Counselor/Caseworker 4 = expert knowledge level 3 = high knowledge level 2 = moderate knowledge level 1 = slight knowledge level
	 -	1.5	w	2.	2	3	-			2.5	2.8	2			2			2.	. Interviews client to identify and classify client's skills, abilities and interests
		2.5	H	5 2	3	J.				N	3	2		2	2			3.	. Establishes periodic verbal or personal contact schedule with client and interviews client on
2	w	u	w	ديا	3	3	u		2	2	2	2.7			2		· · · · · · ·	4.	conformance to conditions of incarceration Establishes and posts case file and evaluates in- formation to determine client's progress and needs
ω	\vdash	2	2	3	2	3	2		62	2			2		2.5			5.	Receives and takes action on complaints against client
	2.5	2.5	2.5	3		w			2	2.5		2.5			2			6.	. Modifies correctional program in view of client's needs and progress
	2	2	2		2	2.5	2		2.5	2.5		2.5		2.5	2.5			7.	Negotiates and develops individual treatment program for corrections client and assists client in implementing program
2	2	2	2.5	3	2.5	3	3	*	2	2		2.5			2	2		9.	. Advises and counsels clients, individually or in groups, concerning conditions of incarceration, employment, housing, education, community services and management of personal affairs to establish realistic and socially acceptable behavior patterns
		2	2.5	ü	2.5	3	w		2	2		2			2			10.	. Advises and counsels client's family or com- plainants on problems in dealing with client
2.7	2.9	w	ω	ω	2	3	2.9		2	2.5	2	2.5		2.9	2	2		11.	. Prepares recommendations, reports and disposi- tional plans on clients for Court, Parole Board or Classification Board
2	2	3.5	2	J.	2	3	ω	7 4	2	2		2.5	2	2.5	2	2		12.	. Testifies at judicial proceedings, parole boards or committees as expert witness to evaluate client progress, and assist in decision making
		2	2	2	2				2				-		2		÷ <u></u>	14.	. Establishes and develops contact with potential employers of clients
		2	3	2	2	2			2			2			2	·		15.	. Contacts and consults with community agencies, individuals and commercial firms to evaluate and establish resources for client treatment and assistance
									4	2.5	2	2.5	2		4	2		16.	. Promotes and explains correctional programs to improve public understanding and support of programs
									3	2.5		3			w	2			. Coordinates use of citizen volunteers in correctional activities
	2	2.5	2	2		2	2		2	1.5		2.7			w			18.	 Attends meetings, hearings and legal proceedings to gather and exchange information and provide input to decisions regarding clients
w	2.5	سا	2	2	2	2	2		2	2		3.5	w	2	w	2.5		19.	Coordinates information and plans concerning clients among law enforcement/criminal justice agencies, client's family, community agencies and commercial firms

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- 1	10 referred procedures	ŗ	17. identification of individual client needs,	15. facility's work and treatment opportunities	14. sources and methods for eliciting information	13.probation and parole forms, records and files	12. supervision and management techniques	11. reports and correspondence writing	10.community resource development	9.principles, purposes and benefits of training and education for offenders	of client progress and adj	7.capabilities and limitations of local social service agencies	6.development and assessment of individual parole plans	5. coordinating client and employer interests	4. use of volunteers and community resources	3.contacts home, school, work, agency	2.patterns of behavior		Knowledge of planning, managing and administering a counseling program	Knowledges	TASK-KNOWLEDGE MATRIX Adult Community-Based Counselor/Caseworker
:	2 2	3.5	+	w	ω					2.5		2.5		3.			3	u		2.	Interviews client to identify and classify client's skills, abilities and interests
	, 2	w	-\-\-\-\-\-\-\-\-\-\-\-\-\-\-\-\-\-\-\	ω	ω		2.5	ω		3	3	<u></u>		5			2.5	2.5		3.	Establishes periodic verbal or personal contact schedule with client and interviews client on conformance to conditions of incarcerátion
Ü	2.5			w	ω	2.5	ω	w	2.8	2.9	3.5	2.6		2,5		2.8	u	ω		4.	Establishes and posts case file and evaluates in- formation to determine client's progress and needs
i	ı ω	2.5	- Lu	w	w.		2.5	ببر	 	2	3	2.5		w		2,5	2.5	2.5		5.	Receives and takes action on complaints against client
ī	2 /2	ω	2	w		2.5	w	ω	2.8	ω •	u	2.5		w		2.8	w	w		6.	Modifies correctional program in view of client's needs and progress
	2.5			w	2		ω	ω	2.8	ω	2.9	2.6		3,5		2.8	3	ω		7.	Negotiates and develops individual treatment program for corrections client and assists client in implementing program
U	2.5	2.5		ω	2.5		W	2.5	2.5	2.9	u	2.5		2.7		3	ω	ω		9.	Advises and counsels clients, individually or in groups, concerning conditions of incarceration, employment, housing, education, community services and management of personal affairs to establish realistic and socially acceptable behavior patterns
2	2.5	2			2.5			2	2	2	3	2.5		2.5		3	3	3		10.	Advises and counsels client's family or com- plainants on problems in dealing with client
		2.5	3	ω	2.5	2.5	u	3.5		2.5	3	2.6	ω	2	2	2	ß	w		11.	Prepares recommendations, reports and dispositional plans on clients for Court, Parole Board or Classification Board
		2,5	2	2				w	2.5	ω	3.5	2.5	2	2	2		3	W		12.	Testifies at judicial proceedings, parole boards or committees as expert witness to evaluate client progress, and assist in decision making
·	2.5	1		ω	2.5		ω	ω	2.8	2.5		2.6		3.5		3				14.	Establishes and develops contact with potential employers of clients
	2	2.5		2.5	2.5		2.5	1	ω	ω	3	ω		2.5		3	2	2		15.	Contacts and consules with community agencies, individuals and commercial firms to evaluate and establish resources for client treatment and assistance
									2.5	2		2.5								16.	Promotes and explains correctional programs to improve public understanding and support of programs
1.0	1 1	u		1.	2.5	1	ယ		2.8	2.5	2	2			2.6					17.	Coordinates use of citizen volunteers in correctional activities
-	2.5	4	u	1 -	2.5	1-	w	3	2	ω	2.5	2.5					1.5	2		18.	Attends meetings, hearings and legal proceedings to gather and exchange information and provide input to decisions regarding clients
	2	2.5	2.5	i •		2	2	ω	u	2	w	2	1 20	2	2	2	2	2.5		19.	Coordinates information and plans concerning clients among law enforcement/criminal justice agencies, client's family, community agencies and commercial firms

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14.casework principles and procedures	13.ethnic customs and mores	12.public relations	11.basic communication skills	10.physical, emotional, mental handicaps	ology	8.gang behavior	rminology	n and drug	neuroses, I	4.aptitudes, interests and motivations		1. personality development	Knowledge of:	9. resident observation, evaluation and assessment	8.client work supervision	on of residents	6.community assistance facilities and programs	5. Financial, personal and family planning and management for clients	l and group counseling procedu	3, crisis intervention	2.standardized and individual diagnostic testing	residents	Knowledge of theories, principles and techniques of individual and group counseling	Knowledges	TASK-KNOWLEDGE MATRIX Adult Community-Based Counselor/Caseworker
2.5	2.5		w	2	2	-	- -	2	2.5	w	2.5	2.5		3		2.5			2		2.5	ω		2.	Interviews client to identify and classify client's skills, abilities and interests
2.5	2.5		w	2	2		+	د	-1	ω .	-+-	+-		3	-		2	2	2.5	2		3	**	3.	Establishes periodic verbal or personal contact schedule with client and interviews client on conformance to conditions of incarceration
ω	2.5		2.5	w	2:	2	7 2		2.5	w	2.5			3			ω	2.5	2.5		2.5	w		4.	Establishes and posts case file and evaluates information to determine client's progress and needs
2	ı	2.5	ω	З		2.5	N L	ه ا	2.5	ω ^κ	ى د	2	,	3.5	2		2.5	ω	ω	3		3	····	5.	Receives and takes action on complaints against client
2	2	2	w	2		ı	N	3	2	2 -	3 /3	2.5		3	2.5	ω	2.8	ω	2.5	2		3		6.	Modifies correctional program in view of client's needs and progress
3	2	2	ω _.	2		•		3	2	2.9	2	2	· ·	3	ω	2.5	2.8	2.9	2.7	2	2.5	ü		7.	Negotiates and develops individual treatment program for corrections client and assists client in implementing program
2.5	2.5	1	3	2			2	a	2	۸ د	3 /2	2		3	ω	2.5	w	ω •5	3.5	2.5	,	ω		9.	Advises and counsels clients, individually or in groups, concerning conditions of incarceration, employment, housing, education, community services and management of personal affairs to establish realistic and socially acceptable behavior patterns
2.5	3	3.5		2		ľ	N V	د	72	2	3 /3	2					2.5	ω	F	3				10.	Advises and counsels client's family or com- plainants on problems in dealing with client
2	2		ω	2			2	2	2	2	7	2	· · · · ·				2.8	2.5				ω		11.	Prepares recommendations, reports and dispositional plans on clients for Court, Parole Board or Classification Board
	2		3.5	2	1	ابر	2	د.	2	2	2	2	,	2.5			2.5	2.5			2.5			12.	Testifies at judicial proceedings, parole boards or committees as expert witness to evaluate client progress, and assist in decision making
	2	3.5	w	2.			2	- 1	2	3	3 13	2		2.5	3,5		2.8				2.5			14.	Establishes and develops contact with potential employers of clients
2	2	3.5	w	3		•	29 6	د	2	۸س	3 /3	2		3	2.5		W	2		2	2.5			15.	Contacts and consults with community agencies, individuals and commercial firms to evaluate and establish resources for client treatment and assistance
	2.5	3.5	ŧ							J	ادر						2.5							16.	Promotes and explains correctional programs to improve public understanding and support of programs
	2	w	w	1.5			1.5	\int		2.9						2	2.8	- 1:				W		17.	Coordinates use of citizen volunteers in correctional activities
2	2	w	w	2		1 .	1.5	3	2	2	3 /3	2	•	2			2.8					w	•	18.	Attends meetings, hearings and legal proceedings to gather and exchange information and provide input to decisions regarding clients
2.5	1.5	ن وا 	u ا	2	1 4	1.5	. 1.	ا. 		2.5				2			2.5	2.5						19.	Coordinates information and plans concerning clients among law enforcement/criminal justice agencies, client's family, community agencies and commercial firms

4. Adult Community-Based Correctional Administrator

The occupational analysis of this key occupation is based on information obtained from ten administrators of community-based facilities in eight different states. The median level of education attained by these administrators was some graduate course work beyond the 4-year college degree, they had a median 10 years experience in corrections, and their median age was 34 years. All the administrators were white males.

a. <u>Task and Knowledge Requirements</u>. The job of community-based correctional administrator can be defined as consisting of 21 tasks and 40 specific skills and knowledges needed to perform the tasks. Not all 40 knowledges and skills are required for all tasks, and different tasks require various levels of expertise in the knowledges/skills.

The relationship of the 40 specific knowledges/skills to the 21 tasks is shown in the Task-Knowledge matrix at the end of this analysis report. The numerical values in the cells of the matrix indicate the level of proficiency required in the specific knowledges and skills for administrators to perform job tasks. The Task-Knowledge matrix essentially depicts the current task and knowledge requirements of this occupation.

I.D. Code Tasks

- Assigns tasks, evaluates and gives direction to staff in order to effectively achieve facility objectives and to make efficient use of available manpower.
- 2. Receives information and issues instructions on requirements and progress of facility programs and projects from staff and establishes priorities in case of conflict.

- 3. Develops plans for and directs management and daily operations of physical plant, food service, and auxiliary services in order to satisfy Federal/State/Department guidelines.
- 4. Prepares and justifies additional or regular budget funds, new programs, and requests for additional personnel resources in order to provide an improving correctional program.
- 5. Directs and reviews preparation of reports in order to provide current information, gain management support of programs, and to assist in long-range planning for facility.
- 6. Reviews and revises facility policies and operating procedures in order to insure that facility/program regulations are updated.
- 7. Reviews and approves responses to legislative, judicial, departmental and facility inquiries.
- 8. Reviews and approves findings and recommendations of facility Disciplinary and Classification Boards.
- 9. Meets with individuals or groups of residents, staff, or community volunteers in order to discuss personal or facility problems, to explain reason for decisions/policies, to consider other inputs to planning, and to reduce tension/frustration of residents and interested parties by providing definitive responses where appropriate.
- 10. Develops and revises plans for effective utilization of staff, residents, resources and outside assistance for facility emergencies.
- 11. Directs facility personnel in unusual or emergency situations (e.g., fire, riot, escape).
- 12. Meets with government and private officials and interested citizens in order to promote programs, disseminate information and receive direct or indirect support for correctional programs/plans.
- 13. Negotiates contracts with unions, public organizations, individuals, local governments, and businesses in order to acquire required services and resources.
- 14. Screens potential residents for community programs in order to identify individuals with backgrounds which meet prerequisites for program participation.
- 15. Testifies at committees, boards and judicial proceedings to provide official information.
- 16. Plans orientation for newly arrived residents to acquaint them with conditions, rules, benefits, aids, and goals of programs or facilities and spot checks their reactions.
- 17. Plans and conducts staff training to make staff more sensitive to residents' problems and to methods for solving those problems.
- 18. Develops and maintains contact with potential employers and helping agencies in order to assess agency capabilities in light of resident needs.
- 19. Consults with parole board and staff to facilitate a smooth transition from a correctional to a community environment.

- 20. Monitors daily operations of facilities to anticipate problems or crises and take appropriate action to prevent disruption of normal operations.
- 21. Performs routine personnel and administrative duties.

The single most critical task, in terms of the percent of incumbents who reported performing it and the amount of time spent doing it, is Task #1--assigns tasks, evaluates and gives direction to corrections staff in order to effectively achieve facility objectives and to make efficient use of available manpower. This task represents the core requirement and, in this sense, subsumes all the other tasks associated with the job. While the administrator may spend more or less time performing other tasks, overall he is responsible for assigning work, giving direction, and evaluating his staff.

The 40 specific knowledges and skills listed in the matrix represent capabilities needed by administrators to perform the tasks of his job. These are organized under eight broad Knowledge Categories as shown below:

Knowledge Category

- A. Knowledge of personnel management (7 knowledges/skills)
- B. Knowledge of fiscal management (6 knowledges/skills)
- C. Knowledge of principles and procedures of correctional planning, program development and evaluation (6 knowledges/skills)
- D. Knowledge of space and facility management (3 knowledges/skills)
- E. Knowledge of local and federal legal decisions which affect correctional procedures and operations (2 knowledges/skills)
- F. Knowledge of systems management (5 knowledges/skills)
- G. Knowledge of the correctional system (8 knowledges/skills)
- H. Knowledge of procedures and resources for institutional disruptions and emergencies (3 knowledges/skills).

By virtue of relating tasks to specific skills and knowledges, the matrix provides an overall view of what community-based administrators need to do and know. In addition, the matrix contains information from which implications for training and education needs can be derived.

- b. <u>Training and Education Implications</u>. Whether or not incumbent administrators have received appropriate training and whether their training was received in optimal learning settings has direct T&E implications. Two occupational analysis sources provide data for assessing these implications for this occupation, (1) the Task-Knowledge matrix and (2) Task Checklist summaries of incumbent administrator responses as to where they learned how to do specific tasks (i.e., academic, formal training, or OJT settings) and whether training was too little, about right, or too much. Table VIII-IV-11 on the next page summarizes the information relevant for assessing T&E implications.
- c. <u>Job Training/Education Requirements</u>. The left portion of the Table suggests the nature of the training/education requirements for administrators, both in terms of training content and where training can be best administered. The column averages indicate the relative importance of each Knowledge Category and, hence, suggest potential content for training. Above each letter identifying Knowledge Categories (i.e., A, B, ... H) is the suggested setting <u>where</u> specific knowledges and skills of each Category can be learned. Knowledge Categories C (knowledge of principles ... program development and evaluation), F (knowledge of systems management), and E (knowledge of legal decisions ...) would appear to be the most critical knowledge areas to cover by training, since a relatively high percent of their specific skills and knowledges are required at high proficiency levels.
- (1) Amount and setting of training. Inspection of the Table clearly demonstrates two points: (1) incumbent community-based administrators feel they have had too little training for many tasks, and (2) they have learned to perform job tasks primarily by on-the-job training. That there is

Table VIII-IV-11 Occupational Summary Data for Adult Community-Based Correctional Administrators

	AC/ FT	AC/ FT	AC	FT	OJT	FT/ OJT	AC/ FT	FT	
			Knov	vledge	Catego	ory			
Tasks	A	В	С	D	Е	F	G	н	
1	43	66	50	0	100	60	0	66	
2	43	83	50	0	100	60	13	0	
3	0	83	0	40	0	20	13	0	
4	29	83	83	0	0	40	50	0	
5	0	17	66	0	0	80	0	0	
6	0	17	83	0	100	80	13	0	
7	0	0	80	0	100	20	25	0	
8	14	0	0	20	100	40	0	33	
9	14	0	66	0	0	40	0	33	
10	0	0	66	0	0	40	14	66	
11	14	0	0	20	0	40	0	66	
12	14	50	100	40	100	40	25	0	
13	43	0	66	0	0	20	0	0	
14	14	0	50	0	100	20	13	0	i
15	14	17	33	0	100	0	13	33	
16	14	0	66	0	0	20	13	0	ŀ
17	43	0	66	0	0	80	25	66	
18	14	0	66	0	0	40	13	0	
19	14	0	66	0	0	40	25	0	
20	43	17	0	0	0	40	13	66	
21	57	0	0	0	0	40	0	0	
Average Percent	20%	21%	50%	6%	38%	41%	13%	20%	

Wher 1	Where actually learned													
AC	FT	OJT												
	·	/												
		/												
		/	1.											
		/												
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-		V												
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AC = Academic

FT = Formal Training

- = too little

OJT = On-the-job Training

OK = about right

+ = too much

a general deficiency in the training received by administrators and a need for more systematic training was very clearly articulated by virtually every administrator and corrections executive interviewed. While some states have instituted some form of management training for administrators, either through the Civil Service or by Department of Corrections initiative, there is little evidence to suggest that this training has been systematically planned and implemented, that it has been effective, or that it is a common offering of very many departments.

d. <u>Future Task and Knowledge Requirements</u>. The field of corrections will continue to face heavy pressure, both because of increased prisoner populations and limited resources and because correctional systems have to face this situation with highly fragmented organization and inappropriate management orientations. Community-based corrections will expand during the next five years, staffs will become more specialized, and the competition for monetary and supporting resources will increase. The compelling current and future need is for more sophisticated and effective management.

Almost without exception, the information and evidence collected from field visits to correctional departments and agencies point to the need for administrators to have better planning and management skills. And almost without exception the evidence suggested that training in these areas was inadequate or non-existent.

Increased capabilities in such specific Knowledge Category C skills as developing programs and creating policies that integrate community resources with resident and facility needs and aims will be called for in the next five years. Likewise, better and more extensive skills in appropriate evaluative techniques will be required so that revisions to programs and policies can be based on a rational, planned, and objective basis.

Increased abilities in Knowledge Category F (knowledge of systems management) skills and knowledges can be an expected requirement in the next five years. Administrators of community-based facilities will continue to operate as one component of a very large and fragmented system. Increased ability to control the quality of community-based programs will necessitate better delegation and review procedures, more extensive relationships with parole, police, and perhaps, court agencies, and wider utilization of community agencies and citizens.

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	6.management techniques (ZBB, PERT, MBO) and forms used	and auditing systems	4.maintenance of internal fiscal administration	3.needs assessment procedures	2.budget preparation, presentation and justification	1.funding sources, resources at the local state, and federal level	B. Knowledge of fiscal management	7. interpersonal relations	o. Collective bargaining, union agreements and contracts	e action programs/	4.training needs	3.evaluation of job performance	2.organizing and staffing projects and units	. .	A. Knowledge of nergonnel management	Knowledges	Adult Community-Based Correctional Administrator 4 = expert knowledge level 3 = high knowledge level 2 = moderate knowledge level 1 = slight knowledge level 1 = slight knowledge level
		-	ω	3	3.1	al, 2		3.2	2	-	63	ω	Lts 2.8		+	1.	Assigns tasks, evaluates and gives direction to staff in order to effectively achieve facility objectives and to make efficient use of available manpower.
ļ	. د	2	ω	3	3,1	2.8		3.2	ν.		2.5	2.5	2.8	2.8	1	2.	Receives information and issues instructions on requirements and progress of facility programs and projects from staff and
	2.7	2	w	LJ	3.1	2.8						•	2	2	\dagger	3.	establishes priorities in case of conflict. Develops plans for and directs management and daily operations of physical plant, food service, and auxiliary services in
ŀ	7 2 7	2	w	3	1 3.1	ω			2.5	-	ω	2.5	2.5	2.8	+	4.	order to satisfy Federal/State/Department guidelines. Prepares and justifies additional or regular budget funds, new programs, and requests for additional personnel resources in
f	,			u س	2.5	12				F		5	5		\dagger	5.	order to provide an improving correctional program. Directs and reviews preparation of reports in order to provide current information, gain management support of programs, and
ł		2	w		5		-			-		<u>.</u>			+	6.	to assist in long-range planning for facility. Reviews and revises facility policies and operating procedures in
-		5		H						-					+	7.	order to insure that facility/program regulations are up-dated. Reviews and approves responses to legislative, judicial,
}								J.		-					+	8.	departmental and facility inquiries. Reviews and approves findings and recommendations of facility
المحمد الشامية المحمد ا								3_2	2	2	2	2.5	2.5	2,5		9.	Disciplinary and Classification Boards. Meets with individuals or groups of residents, staff, or community volunteers in order to discuss personal or facility problems, to explain reason for decisions/policies, to consider other inputs to planning, and to reduce tension/frustration of residents and interested parties by providing definitive responses where appropriate.
								2			2		2	2	1	0.	Develops and revises plans for effective utilization of staff, residents, resources and outside assistance for facility emergencies.
						-		3.2				2.5			1	1.	Directs facility personnel in unusual or emergency situations (e.g., fire, riot, escape).
				د	3.1	2.8		3.2							1		Meets with government and private officials and interested citizens in order to promote programs, disseminate information and receive direct or indirect support for correctional programs/plans.
	·	2				2.5		3.2	ω 5	2.5		2.5	2.5	2.8	1	3.	Negotiates contracts with unions, public organizations, individuals, local governments, and businesses in order to acquire required services and resources.
												2.7			1		Screens potential residents for community programs in order to identify individuals with backgrounds which meet prerequisites for program participation.
					ω			3.2	٧,	П				N	1	5.	Testifies at committees, boards and judicial proceedings to provide official information.
								3.2							1		Plans orientation for newly arrived residents to acquaint them with conditions, rules, benefits, aids, and goals of programs or facilities and spot checks their reactions.
								3.2			2.5		2.8		1	7.	Plans and conducts staff training to make staff more sensitive to residents' problems and to methods for solving those problems.
								3 2						• .		8.	Develops and maintains contact with potential employers and helping agencies in order to assess agency capabilities in light or resident needs.
								2			2.5	2 5			1		Consults with parole board and staff to facilitate a smooth transition from a correctional to a community environment.
				וני				3			2	2		2.8	_ 2		Monitors daily operations of facility to anticipate problems or crises and take appropriate action to prevent disruption of normal operations.
		2						ا (د د	N	2	2.5	7	5	2.9	2		Performs routine personnel and administrative duties.

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Tasks

	3. security requirements for areas and/or	s for faci	faci	6.application of research techniques and computer systems	e and qualita	opment and revisi	3.program and proposal development	<pre>2.current community-based trends and/or innovations</pre>	and/or	of principles and nal planning, proevaluation	Knowledges	TASK-KNOWLEDGE MATRIX Adult Community-Based Correctional Administrator
	ă				j	3.1	ω	H	3.5		1.	Assigns tasks, evaluates and gives direction to staff in order to effectively achieve facility objectives and to make efficient use of available manpower.
1	1			2	3.1	3.1	w	2.5	3.5		2.	Receives information and issues instructions on requirements and progress of facility programs and projects from staff and
3.1	2.1	2.8									3.	establishes priorities in case of conflict. Develops plans for and directs management and daily operations of physical plant, food service, and auxiliary services in
2	2	2		2	3.1	3.1	ω	3.5	3 5		4.	order to satisfy Federal/State/Department guidelines. Prepares and justifies additional or regular budget funds, new programs, and requests for additional personnel resources in
-	+			2	3.1	3.1	ω	3.5	ω 5		5.	order to provide an improving correctional program. Directs and reviews preparation of reports in order to provide current information, gain management support of programs, and
-	-			2	2	3.1	ω	ω • 5	ω		6.	to assist in long-range planning for facility. Reviews and revises facility policies and operating procedures in
	\perp			2	ω	w	ω		w		7.	order to insure that facility/program regulations are up-dated. Reviews and approves responses to legislative, judicial,
w	 				1	1		5	رب ر	· · · · · · · · · · · · · · · · · · ·	8.	departmental and facility inquiries. Reviews and approves findings and recommendations of facility Disciplinary and Classification Boards.
						3.1		3.5	3,5		9.	Meets with individuals or groups of residents, staff, or community volunteers in order to discuss personal or facility problems, to explain reason for decisions/policies, to consider other inputs to planning, and to reduce tension/frustration of residents and interested parties by providing definitive responses where appropriate.
						3.1	3	3,5	3 5		10.	Develops and revises plans for effective utilization of staff, residents, resources and outside assistance for facility emergencies.
ω	1							2.5	2		11.	Directs facility personnel in unusual or emergency situations (e.g., fire, riot, escape).
3.1	1	2.8		3	ω	3.1	3	-	3.5	·· · · · · · · · · · · · · · · · · · ·	12.	Meets with government and private officials and interested citizens in order to promote programs, disseminate information and receive direct or indirect support for correctional programs/plans.
					2.5	3.1	3	ယ Մ	ω .5		13.	Negotiates contracts with unions, public organizations, individuals, local governments, and businesses in order to acquire required services and resources.
2.5						3.1	3	2.5	ىد		14.	Screens potential residents for community programs in order to identify individuals with backgrounds which meet prerequisites for program participation.
2.5						2	2	Li	ა 5		15.	Testifies at committees, boards and judicial proceedings to provide official information.
						3.1		ω J	ω .π		16.	Plans orientation for newly arrived residents to acquaint them with conditions, rules, benefits, aids, and goals of programs or facilities and spot checks their reactions.
						3.1	ω	ىر س	υ J		17.	Plans and conducts staff training to make staff more sensitive to residents' problems and to methods for solving those problems.
						3.1	Çij	بر س	3 5		18.	Develops and maintains contact with potential employers and helping agencies in order to assess agency capabilities in light or resident needs.
				2	2	3	w	در	ω		19.	Consults with parole board and staff to facilitate a smooth transition from a correctional to a community environment.
2.5						3.1	2.5	y J	ω 5		20.	Monitors daily operations of facility to anticipate problems or crises and take appropriate action to prevent disruption of normal operations.
						2					21.	Performs routine personnel and administrative duties.

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•	Ouse of management information systems (MIS)	:	3.report and memoranda writing	2.delegation and review procedures	onents-	F. Knowledge of systems management	2.local decisions	E. Knowledge of legal decisions (local and federal courts) which affect correctional procedures and operations 1. Supreme and Appellate court decisions	Knowledges	Adult Community-Based Correctional Administrator
		ω	w	2.7	2.5		w	3,2		Assigns tasks, evaluates and gives direction to staff in order to effectively achieve facility objectives and to make efficient use of available manpower.
	2	3	2.8	2.7			3	3,2	2.	Receives information and issues instructions on requirements and progress of facility programs and projects from staff and establishes priorities in case of conflict.
	2	2	2.5		ω.		2	2	3.	Develops plans for and directs management and daily operations of physical plant, food service, and auxiliary services in
	2		3				2	2	4.	order to satisfy Federal/State/Department guidelines. Prepares and justifies additional or regular budget funds, new programs, and requests for additional personnel resources in
	2	₃	2	2	₃				5.	Order to provide an improving correctional program. Directs and reviews preparation of reports in order to provide
	2		.8 2	.7 3	ω		u)	ω	6.	current information, gain management support of programs, and to assist in long-range planning for facility. Reviews and revises facility policies and operating procedures in
		1 1	.8							order to insure that facility/program regulations are up-dated.
			2.8				w	ω 		Reviews and approves responses to legislative, judicial, departmental and facility inquiries.
			ယ	ω			w	w		Reviews and approves findings and recommendations of facility Disciplinary and Classification Boards.
		ω	4	2.5	w		. ,	2.5		Meets with individuals or groups of residents, staff, or community volunteers in order to discuss personal or facility problems, to explain reason for decisions/policies, to consider other inputs to planning, and to reduce tension/frustration of residents and interested parties by providing definitive responses where appropriate.
			2.8	2.5					10.	Develops and revises plans for effective utilization of staff, residents, resources and outside assistance for facility emergencies.
			2.8	2.					11.	Directs facility personnel in unusual or emergency situations (e.g., fire, riot, escape).
		ω	2.8					3.2	12.	Meets with government and private officials and interested citizens in order to promote programs, disseminate information and receive direct or indirect support for correctional programs/plans.
		3						 	13.	Negotiates contracts with unions, public organizations, individuals, local governments, and businesses in order to acquire required services and resources.
					w				14.	Screens potential residents for community programs in order to identify individuals with backgrounds which meet prerequisites for program participation.
1					-		u	ω	15.	Testifies at committees, boards and judicial proceedings to provide official information.
		3			-,,				16.	Plans orientation for newly arrived residents to acquaint them with conditions, rules, benefits, aids, and goals of programs or facilities and spot checks their reactions.
				2.7	ω				17.	Plans and conducts staff training to make staff more sensitive to residents' problems and to methods for solving those problems.
			ر 2		•			•	18.	Develops and maintains contact with potential employers and helping agencies in order to assess agency capabilities in light or resident needs.
			3	,	:		2		19.	Consults with parole board and staff to facilitate a smooth transition from a correctional to a community environment.
		u.	٠ <u> </u>	2 5					20.	Monitors daily operations of facility to anticipate problems or crises and take appropriate action to prevent disruption of
		ا د	-	36	2.5				21.	normal operations. Performs routine personnel and administrative duties.

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3. public relations		1.resources available	Knowledge of procedures and resources for institutional disruptions and emergencies	8.legal developments/trends in corrections	7.organization-facilities, staffing, and resources	1 ^		4. role of law enforcement agencies	lationship of con	ctive on correct	rrections in ustice	ige of the correctional	Knowledges	TASK-KNOWLEDGE MATRIX Adult Community-Based Correctional Administrator Administrator
2.5	ω	w			2.5							-	1.	Assigns tasks, evaluates and gives direction to staff in order to effectively achieve facility objectives and to make efficient use of available manpower.
				3.1	3.1				2				2.	Receives information and issues instructions on requirements and progress of facility programs and projects from staff and establishes priorities in case of conflict.
				2	3.1								3.	Develops plans for and directs management and daily operations of physical plant, food service, and auxiliary services in order to satisfy Federal/State/Department guidelines.
				3.1	3.1	3.5	2.5	2.5	3.2	2,5	2,5		4.	Prepares and justifies additional or regular budget funds, new programs, and requests for additional personnel resources in order to provide an improving correctional program.
												:	5.	Directs and reviews preparation of reports in order to provide current information, gain management support of programs, and
T				3.1									6.	to assist in long-range planning for facility. Reviews and revises facility policies and operating procedures in order to insure that facility/program regulations are up-dated.
				3.1	3.1		2.5		2.5		N		7.	Reviews and approves responses to legislative, judicial, departmental and facility inquiries.
2	3			2		2	Ŭ.		<u> </u>				8.	Reviews and approves findings and recommendations of facility Disciplinary and Classification Boards.
2	3			2.5	2.5		•		2	2	2			Meets with individuals or groups of residents, staff, or community volunteers in order to discuss personal or facility problems, to explain reason for decisions/policies, to consider other inputs to planning, and to reduce tension/frustration of residents and interested parties by providing definitive responses where appropriate.
2.5	3	ω	· · · · · ·	2	3.1		_	2.5						Develops and revises plans for effective utilization of staff, residents, resources and outside assistance for facility emergencies.
2.5	ω	ω		2	2.5		2	2.5						Directs facility personnel in unusual or emergency situations (e.g., fire, riot, escape).
				3.1	2				3.2	2	2.5			Meets with government and private officials and interested citizens in order to promote programs, disseminate information and receive direct or indirect support for correctional programs/plans.
				2.5	2					2.5	2.5			Negotiates contracts with unions, public organizations, individuals, local governments, and businesses in order to acquire required services and resources.
L				2									14.	Screens potential residents for community programs in order to identify individuals with backgrounds which meet prerequisites for program participation.
	3			2.5	3.1				3.2	2	2.5		15,	Testifies at committees, boards and judicial proceedings to provide official information.
					3.1							·	16.	Plans orientation for newly arrived residents to acquaint them with conditions, rules, benefits, aids, and goals of programs or facilities and spot checks their reactions.
2.5	3	3		u	3.1	25							17.	Plans and conducts staff training to make staff more sensitive to residents' problems and to methods for solving those problems.
									3.2				18.	Develops and maintains contact with potential employers and helping agencies in order to assess agency capabilities in light or resident needs.
				2		3.5			ω				19.	Consults with parole board and staff to facilitate a smooth transition from a correctional to a community environment.
2	3	3	•		3.1								20.	Monitors daily operations of facility to anticipate problems or crises and take appropriate action to prevent disruption of normal operations.
													21.	Performs routing personnel and administrative duties.

E. ANALYSIS OF SIGNIFICANT TRENDS OR INNOVATIONS AFFECTING FUTURE DEPARTMENTAL AND AGENCY NEEDS

Interviews with corrections executives indicated that all of the departments of adult corrections visited are improving operations by introducing innovative ideas and programs. Departmental philosophy, available funding, and management capabilities were cited as the more important factors in determining both priorities for and feasibility of programs introduced.

LEAA funding has significantly contributed to departmental adoption of new programs for correctional change. It was not the purpose of the NMS to collect information on all, or even the majority, of the new projects being conducted by the sample states. To determine the most significant trends which have affected (and will most likely continue to affect) correctional planning in the next ten years, both current practices and the recommendations of the National Advisory Commission (NAC) of Criminal Justice and Standards and Goals were given attention.

For adult corrections, two closely related trends were selected for closer examination:

- the use of community based correctional facilities
- the use of offender release programs

An effort was made to select trends which might have substantial long-term implications for manpower, training and education. During the field visits interviews were held with staff responsible for community programs at the

department of corrections level and with ten administrators of community-based facilities.

The construction of new correctional facilities is an issue the NAC studied in relative depth; consequently, a number of important standards were developed. 4 Many correctional agencies will most likely be forced to build some type of new facilities in the next ten years to increase their total available bedspace. In the past ten years, increased interest has been shown in development of community-based programs as alternatives to incarceration. For these reasons, community-based facilities could be identified as an important trend which will continue to affect correctional manpower, education, and training needs.

Likewise, the National Advisory Commission recommended increased levels of responsibility for inmates progressing through the correctional system, with gradually decreasing emphasis on close custody and increasing reliance upon community resources and participation. Many departments likely will continue to utilize a variety of community release programs to provide opportunities for reintegration of inmates into the community. As these programs become more sophisticated and refined, increased pressures can be expected for changes in manpower, education, and training requirements for correctional personnel.

1. Community-Based Facilities--Current Status

a. <u>General Description</u>. Of the ten states sampled, eight reported current use of small, community-based correctional facilities. The use of community-based facilities is therefore not an isolated phenomena employed by a small number of states. While administrators were quite candid about the

problems associated with such facilities, there was a clear indication that the concept had been accepted and that only operational problems and long-range refinements remained as stumbling blocks.

Most correctional departments used community-based facilities for inmates nearing the end of their prison sentence or for those approaching parole eligibility. These criteria have served as an automatic screening mechanism; none of the departments sampled indicated that such facilities were used for housing newly committed offenders or those persons with long amounts of time remaining until potential release. Community-based facilities are thus being used with greater emphasis as part of pre-release programs than as a long-term housing alternative for sentenced offenders. Staff will, in all likelihood, continue to be required for two distinct types of facilities; the large, older institution for inmates serving longer sentences, and the newer small facility for those approaching release. Each type of facility has different needs and requirements for both offenders and staff; training, recruitment, and educational standards will have to continue to be bifurcated to meet these dual needs.

Within the sample, the largest number of community-based facilities located in a single state was 23, and the smallest number was 3. The capacity of these facilities ranged from 10 to 200 with the majority having between 35 to 60 beds. The largest number of residents in state community-based facilities was 1700, and the smallest was 95. Ratios of inmates in institutions to inmates in community-based facilities varied, but in each state visited, the residents of community facilities represented only a small proportion of the total number incarcerated. This reinforced the fact that while the vast majority of correctional administrators are committed to community corrections,

a large amount of caution and selectivity is being exercised in placing offenders in community-based beds. Increasing inmate populations in virtually every state will maintain pressure on administrators to keep community facilities filled to maximum levels and to exercise even greater selectivity with respect to residents, including only inmates who have demonstrated "readiness" for such an experience.

Several of the states sampled indicated specific plans for new communitybased facilities. One state anticipated adding two new 500-bed facilities, and five new 300-bed facilities. Another state planned two 100-bed facilities and still another has planned to add two facilities of unspecified size. Although these states were faced with severe population growth problems which would make construction of large facilities seem most economical, each state was more inclined to invest capital in constuction or renovation of smaller facilities with an increased community emphasis. This type of facility may well be the most popular addition to future correctional building programs, as the 200-500 bed facility in a community location combines the advantages of a "workable" population size and a proximity to urban areas which facilitates community participation and support of correctional programs. In addition, NAC has suggested that by building such facilities, departments can avoid adding "... excessive regimentation, surveillance, equipment, and repressive hardware." Increased use of this type of facility will undoubtedly affect manpower needs in the future in ways which will be discussed later in this chapter.

Correctional departments have viewed the small, community-based facility as a pre-release residence rather than as an alternative following initial sentencing of offenders. It is significant that none of the departments or

agencies visited had established a classification process for making rapid initial assignments of new offenders to the small community-based facility. To institute such a classification policy for new offenders while total community beds are concurrently being increased would produce significant changes in manpower needs—increasing numbers of inmates would be housed in smaller facilities, requiring a change in both programs and personnel. None of the departments visited indicated plans for such a dramatic change in the organization of facilities and in program priorities. The departments visited will most likely maintain the existing dual correctional system using both large institutions and newer community-based facilities. Instead of being concerned with phasing out or significantly changing the populations in either type of facility, departmental administrators are making efforts to determine the best mix of the two to insure desired "inmate flow" through the correctional process.

b. Manpower Staffing. The types of correctional facilities visited included both large institutions with inmates serving relatively long periods of time and smaller, community-based facilities with inmates who were nearing the end of their sentences. It was expected that there would be significant differences in the manpower, education, and training needs of each facility type according to the objectives of the facility. We found marked similarities in staffing, however, and for the most part there was no effort to provide specialized training consistent with facility objectives. Most states had deliberately blurred the institutional distinctions between treatment and custody staff in the community-based facilities. It was somewhat surprising that the states sampled did not report more specialization of community correctional staff to meet the very specific needs and priorities of such facilities. One can assume, at least for the states surveyed, that

"institutional" model, with reduced inmate population being the only key difference between such a facility and the larger prisons.

Personnel interviewed at community-based facilities were evenly divided on the issue of current critical manpower shortages; half the facilities reported shortages and the remaining half indicated satisfaction with current staffing levels. There was no area where shortages consistently emerged, although the specific occupations of correctional officer and correctional counselor and those in clerical areas were frequently cited.

The main reason indicated for manpower shortages was lack of adequate funding, most often expressed in terms of "austerity budgets," "budget cut-backs," and "not enough money for needed positions." Transfer of staff was also mentioned as a possible cause of manpower shortages.

Manpower shortages have had an effect on existing staff who have been requested to put in longer hours, take shortened vacations and leave time, and assume additional duties outside the scope of their normal responsibilities. Agency executives reported particular concern about their ability to maintain acceptable levels of staff morale among counseling/administrative staff when the latter had to be given extra security assignments. Lower morale and heavier workloads have had effects on the ability of staff to provide needed client-services to inmates.

None of the agencies which reported current manpower shortages believed that they would continue to have manpower problems in the next five years.

Only one of the agency administrators allowed even the possibility of future manpower shortages, and he indicated that this depended greatly upon the

economy: if the economy improved significantly over the next five years, his staff would look to employment opportunities in areas where remuneration was higher and greater consideration was given to college and advanced degree work.

Staff in the smaller community-based facilities must often be relied upon to perform more than the clearly defined functions listed in a job description. When staff shortages occur, persons are asked to do "doubleduty;" counselors who are required to establish close working relationships on a personal level with inmates may be asked to perform security functions to cover for inadequate correctional staff. Even temporary assignments in such areas are clearly inconsistent with normal duties. Serious security problems can result due to a lack of adequate security training for counseling staff. In addition, staff morale may be adversely affected. It should be noted that often large institutions also face manpower shortages but counselors or caseworkers in such institutions would virtually never be asked to provide security Community-based facilities, when faced with such problems, seldom coverage. have acceptable alternatives. Administrators felt that a community-based staff member, by necessity, must become a "jack-of-all-trades" who provides varying and sometimes conflicting functions. Because little or no training may be provided for some functions, the facility may operate with inadequate staffing at multiple levels.

c. <u>Training Status</u>. Corrections has traditionally operated with a marked split between treatment and security staff. As indicated above, community-based facilities tend to eliminate this split, although more by happenstance or as a result of crisis management than by careful planning.

Only one jurisdiction had successfully made an effort to create a new position

which formally combined the counseling and security roles in a community-based setting. Such an approach appears to be promising; after long-range evaluation and testing, this type of position may assume much greater significance. The security and treatment roles do not blend easily, however, and it is possible that positions which attempt to combine them will pose continuing problems. After adequate training and education standards are defined, use of the "combination" position may prove to be more economical and effective in small correctional facilities than using specialized staff on an ad hoc basis in different roles and positions.

Two sets of interviews were held to determine the extent to which training was given to prepare staff specifically for assignment to community-based facilities. Training personnel who were interviewed across states felt adequate examples of this type of training were nonexistent. One notable exception was found in a jurisdiction which required a six-week training course for all new staff, to be conducted prior to actual assignment. The second set of interviews was held with corrections executives, who felt some training programs and efforts did merit recognition, yet acknowledged them to be generally insufficient. None of the states reported, for example, that training had been modified to meet the special needs of smaller, community-based facilities, or that standards for entry had been revised.

The greatest deficiency in training was reported to be in counseling techniques for both paraprofessionals and senior counseling staff. Training deficiencies in management/business skills, contract monitoring/compliance, and public relations skills were also indicated.

Even though corrections executives frequently expressed concern for better training, there was some doubt as to whether training has been perceived

to be as essential as some other needs. To determine priorities, administrators of ten community-based facilities were asked how they would spend a 10% increase in annual funds. All but two administrators reported they would use the additional funds to add personnel rather than fill gaps in training. Unfortunately, the interviews with corrections executives and facility administrators consistently pointed out that the current state of training for community-based corrections is far from satisfactory.

2. Community Release Programs--Current Status

a. <u>General Description</u>. Community release programs—work release, study release, furloughs and other similar opportunities—operate on many of the same principles and concepts as the small community—based facilities just discussed. The key difference—and the primary reason we have separated these two trends—is that release programs can be administered from virtually any size facility. Thus, correction departments can and often do operate release programs in large, medium or minimum security facilities. One of the major arguments for the use of smaller facilities, however, is the potential for sound operation of these programs.

Release programs are not new to the correctional scene, and they have been administered over sufficient periods of time so that most administrators are relatively confident of the programs and are willing to invest department resources to insure success. For the NMS, the issue was not the effectiveness of such programs, but the impact such programs might have on correctional manpower. Do line staff need specialized training to effectively handle the unique situations which are often presented in such a program? Are large numbers of additional staff required? Do these programs have substantial impact on departmental operations?

A release program is defined as any program where pretrial detainees or sentenced offenders (not parolees) leave a correctional facility on a regular basis to attend community functions (school, etc.), be gainfully employed, or participate in activities which prepare them for return to that community when released. The concept of release programs is intuitively appealing. Providing carefully selected inmates with meaningful work and the opportunity to gradually assume greater social responsibility (earn a living, pay taxes, save money, support family, etc.) seems a reasonable way to reintegrate them into society. Similarly, by acquiring knowledge and new skills in education outside correctional institutions, inmates may expand their opportunities and work to eliminate self-destructive behavioral patterns. Release programs, however, are not without problems. The most critical factor for the success of such programs is the careful selection of participants; failure of individuals in such programs often results in dramatic headlines in local newspapers which dilute or eliminate whatever positive aspects are derived from overall correctional program effectiveness.

A 1972 study indicated that there were 28 corrections departments with community treatment programs featuring work release; 12 of these also involved educational release. Such programs typically included: individual and group counseling, prerelease orientation, family counseling, accelerated release for those participating in the program, community involvement and use of volunteers, and maximum use of all community resources. The study made the following observation:

It may well be that the rate of growth in these programs will slow down or level off because of the shift in emphasis to the beginning of the correctional process. It should be pointed out, however, that 21 of the states presently involved in community-based programs have specific plans to expand existing programs substantially

and/or to increase their community-based facilities within the next 2-5 years. These increases would account for an additional 64 units or facilities and 2,891 beds or program spaces. This represents an increase of approximately 70 percent over present level.9

All of the states sampled indicated that they were currently operating release programs. Most states had begun their work release programs between 10 1968-70, a period of rapid nationwide growth in programs of this type. Whether or not the growth predicted in the 1972 study had actually occurred was difficult to determine. Several states did indicate that they had current plans to expand programs.

Release program characteristics and number varied greatly in the states sampled. The number per state ranged from 25 to a single program. Residents assigned to such programs ranged from 1,150 to less than 100. The range for staff assigned to the programs was from over 200 to 4. Variation was also evidenced in the types of personnel employed in the programs. One state reported having no counseling personnel, while other states indicated they used specialized positions, such as work or educational placement officers. Exoffenders and/or volunteers were used in some states, but not in others.

Study release was not used as frequently or to the extent that work release was employed in the sampled states. Most of the states used work and study release programs concurrently, although one state did report using a facility designed exclusively for educational release participants pursuing college courses.

b. Manpower and Staffing. The use of release programs has not significantly affected correctional manpower in the ten sample states. Half of the states indicated that no new positions have been created as a result of

adding release programs. In contrast to this, one state had instituted major changes in staffing and job responsibilities by adding three new positions and modifying correctional officer tasks in order to outline work requirements appropriate in a mimimum security situation. The overall impression, however, is that states are generally administering release programs as part of their regular operations rather than attempting to make them separate functions by seeking special funding or creating new positions. Responsibilities have simply been given to current staff. While the economics of this approach are sound, a question might be raised concerning the quality of both "treatment" and custodial services provided to program participants. The use of existing staff for administration and operation of release programs is consistent with the previously discussed finding that few states had really made much effort to utilize specialized staff in community-based facilities.

In contrast to the information obtained at department-level regarding staffing of release programs, the majority of agency level administrators felt that new positions were being created and that changes had been made in existing positions to coincide with the requirements of new release programs. It is possible that most of these "position changes" simply reflect internal agency refinement or modification of existing job description; they may not have received new classifications by Civil Service or formal acknowledgement by the department.

All of the states sampled reported that release programs have not significantly affected existing caseloads or created manpower shortages in other institutions due to transfers. Such programs can be operated, for the most part, with existing staff, which explains why the number of positions, available for new staff are usually limited.

Community resistance was mentioned most frequently as the greatest obstacle to setting up and operating release programs, though most administrators did feel their programs were successful. Other problems facing work release in particular are lack of suitable jobs for residents and lack of money for effective operations.

c. Training Status. Implementation of release programs has not led to changes in training programs offered by states. There was little indication that specialized training is currently being provided for correctional officers or counselors assigned to release programs. In contrast to the inactivity on the department level, most of the facility administrators reported that they offered in-service training relevant to work in release programs. Topics addressed included specialized treatment methodologies for dealing with drug and alcohol abuse and sex offenses, family therapy techniques, and the effective use of vocational rehabilitation services. The discrepancy between departmental and agency reports may indicate that agencies are taking initiative to meet perceived training needs for staff without specific support or guidance from departmental headquarters.

3. Expected Future Status

All of the facility administrators in our sample predicted that there would be changes in community-based facility manpower, education, and training needs in the next five years. No radical changes were anticipated; it was thought that trends already visible in the community-based system would be extended and more firmly established.

Most agencies felt that community-based facilities would further deemphasize custody by expanding work and study release programs. They also indicated that the community would become increasingly involved in especially pre-release facility work by offering financial assistance, direct assistance (volunteers, etc.), or increased support from the business community. Increased job training for residents, decentralization, liberalization of residential rules, and greater emphasis on academic programs were also predicted for the near future.

None of the predictions indicated are at variance with what might be expected. For the most part, administrators were unwilling to move rapidly into the somewhat risky area of innovations for community-based facilities for fear of jeopardizing the support which has been established for existing programs. Changes and improvements will most likely be incremental rather than rapid or dramatic.

4. Implications for Staffing and for Training/Education Needs

Although evidence of the trends toward community-based facilities and community release programs was extensive, states in the sample did not report major impacts upon manpower, education, and training standards for staff.

The sample states, while apparently committing significant resources to community-based corrections and release programs, have not made corresponding changes in staffing by adding specialized or specially-trained personnel. It was clear from the field visits that the philosophy of reintegrating offenders into their communities is generally accepted. However, there are well-defined points beyond which most states will not proceed, which puts a limitation on the degree of growth to be expected in community facilities or manpower needs.

In all likelihood, corrections departments will continue to cautiously expand current community-based programs and facilities. They will continue to

be limited by tight budgets, community pressures against such growth, and the lack of uniformly effective procedures to select large numbers of offenders for community placement. Because personnel and Civil Service systems have seemingly worked against the creation of well-defined "emerging" occupations in the entire community correctional area, existing staff will most likely be transferred to newly created positions or will simply add new responsibilities to their position descriptions.

Occupations developed specifically for community-based systems, which were not in evidence in states sampled, are not likely to appear in the near future. No significantly modified education and training requirements for community-corrections staff are evidenced or expected. If corrections continues to utilize community-based programs in the current manner, there may be only a limited need for increased manpower or modified education and training standards. If increasing emphasis is ever placed upon the small community-based facility as a site for long-term (but truly different) incarceration, rather than only pre-release activities, there may then be an increased need for staff specialists who do not exist in the current corrections employee "pool."

The field interview data suggest that three positions have begun to change as a result of community-based corrections, although indicators for change varied among sample states.

The correctional officer is being required to become more of a specialist. His skills are being developed in areas outside the traditional role of security, and while the roles of therapist and guard will continue to be mutually exclusive, there will be an acceleration of the blending of roles so as to create a new occupation for community-based facilities. This position will require more than the usual high school education; specialized preservice and continuing in-service

training will be necessary to assure that the new role remains clearly defined. Civil Service and personnel divisions will have to create new specifications for this "specialist" position.

- The counselor or caseworker is becoming more of a resource and program developer for individualized inmate rehabilitation programs. This increased emphasis on "community awareness" does not mandate a necessary lowering of educational requirements, but it does permit greater utilization of ex-offenders and/or paraprofessionals. Where specialists are still needed, community-corrections will tend to "purchase services" rather than provide them routinely in all areas of counseling. The changing role of the community corrections counselor will require increased in-service training to assure continuing competency and professional growth.
- The community corrections administrator is becoming a position of increasing importance and scope. While the number of administrators required for large institutions remains stable or is even decreasing, new facilities in the community and the implementation of offender community programs require additional "mid-level" administrators who possess sound management skills. Incumbents for these types of positions may best come from within departments if provisions are made to identify future managers from both custodial and treatment staff. Correctional experience, plus a solid background of basic management skills constitute the requirements which will be needed for such positions. Increased emphasis on in-service training, as well as continuing outside education will be needed to assure that minimum requirements in the future are adequate.

The changes predicted for these occupations will probably take place regardless of the rate of future growth of community facilities or programs. Similiar changes might also be necessary in larger prisons, but fewer opportunities exist there for occupational modifications because of security requirements and caseload sizes.

While the implementation of community-based corrections has had few obvious impacts on manpower, it is clear that much work needs to be done in the area of education and training for community-based personnel. Community correctional facilities and programs operate on different sets of principles than the larger institutions; objectives and procedures to attain them can be

more clearly defined and applied to daily operations. The sample states have done little, however, to take advantage of these differences by instituting new preservice and in-service training programs and educational standards for the community-based area. Civil Service and state personnel systems have not been helpful in creating new position descriptions and educational requirements. More can and ought to be done; training and the redesign of key positions, with the involvement of department, Civil Service, and agency staff, can be significant in the overall improvement of community-based corrections.

5. Conclusions and Findings

Data from field visits to departments of corrections and community-based facilities yielded conclusions which must be treated as tentative for reasons previously cited and which are best interpreted in conjunction with other data included in this series. The conclusions are organized into the categories of general status, manpower, and training in community-based and release programs.

a. General Status

- Most states are committed, in varying degrees to the concept of community-based corrections. Stabilization or moderate growth is likely the immediate future.
- Community-based facilities are currently being used, and will continue to be used, as short-term residence facilities for pre-release programs rather than long-term community facilities for all offenders.
- Community-based facilities will continue to serve a relatively small proportion of the total number of residents. Residents will continue to be carefully screened and selected to minimize risk to the community.
- Community release programs are generally accepted as being desirable by correctional administrators and executives, but it is unlikely that there will be rapid expansion of these programs throughout corrections as a whole.

b. Manpower

- The most common effect of manpower shortages in communitybased facilities is that treatment and administrative staff are required to assume roles and responsibilities for which they are not trained.
- There is no need for large-scale recruitment programs designed to make large numbers of specially qualified staff available for key positions in community-based programs. Special qualifications for community-based assignments are usually not required or desired.
- Few states have created new staff positions or have significantly changed tasks of existing positions as a result of the use of release programs.

c. Training

- There are no consistent or widespread efforts to provide specialized training for newly assigned personnel in community-based correctional programs.
- Although community-based facility objectives are clearly different from those of larger institutions, little effort has been made to modify education or training standards for new and incumbent staff in community positions.
- When placed upon a list of priorities, training for communitybased facilities assumes less importance than personnel additions to counter shortages.

References and Notes

- 1. Data from <u>Directory 1975-76</u>, published by the American Correctional Association, pp. 250-257, October 1975.
- 2. Fine, S.A., Functional job analysis: An approach to a technology of manpower planning. Personnel Journal, 1974, 813-818.
- 3. National Advisory Commission on Criminal Justice Standards and Goals, U.S. Government Printing Office, 0-494-672, Washington, D.C., 1973.
- 4. The commission suggested that no new institutions for adults should be constructed unless a total systems analysis was previously conducted. The facility should be small and close to the communities from which its inmates come (Standard 11.1). In addition, any modifications to existing institutions should be based on the promulgated standards of the construction of new facilities (Standard 11.2).
- 5. Ibid, p. 244. (Standard 7.4)
- 6. Most frequently cited problems included adverse community reaction, difficulty in site location, start-up costs, selection criteria for residents, security problems, and others.
- 7. Ibid, p. 357. (Standard 11.1)
- 8. Griggs, Bertram S. and McCune, Gary R. "Community Based Correctional Programs: A Survey and Analysis." In <u>Corrections in the Community</u>: Selected Readings, edited by George O. Killinger and Paul F. Cromwell, Jr., West Publishing Co., 1974.
- 9. Ibid., p. 137.
- 10. Ibid., p. 136.

CHAPTER V. JUVENILE CORRECTIONS

This chapter presents information about juvenile corrections collected at the state headquarters' level and at the individual agency level. The purpose of this dual look at juvenile corrections was to obtain in-depth field experience to highlight operations, staffing and future plans as viewed by state headquarters personnel and as translated by local agencies. This phase of research is not meant to be representative of juvenile corrections across the country, but rather to suggest manpower and training issues and trends.

This chapter is concerned with four of the five key occupations selected for study in the juvenile corrections field. These four key occupations and their definitions are:

Correctional Institution Administrator: the highest level position with overall responsibility for the daily operation of a juvenile detention/ treatment facility. Such a facility is usually designated as a training school although may also be termed a Learning Center or Youth Development Center. Regardless of terminology, the primary emphasis is upon treatment in a setting which provides at least minimum security. 1

Community Correctional Administrator: the position with responsibility for overall delivery of services to juvenile offenders in a community or nonsecurity setting. This position may be Group Home Director or some



similar title which indicates responsibility for treatment service delivery to juvenile offenders in minimal or nonsecurity settings.

Houseparent, Living Unit Staff, Youth Service Worker, etc.: the position with direct responsibility for the supervision or custody of children in a juvenile facility. This basic line custody position may involve some opportunity for counseling, but is mainly directed at supervision of children in detention areas.

Counselor, Social Worker, Case Manager: the position with responsibility for "treatment" programs for juvenile offenders. This usually entails counseling, record-keeping, coordination with youths' families, recommendation for release from detention facility, etc. This basic casework position focuses primarily on treatment delivery in a juvenile facility.

The label "Correctional Institution Administrator" has been shortened to Correctional Administrator for use in the remainder of this chapter. The label applies to executives of training schools and detention centers.

The fifth occupation - Aftercare Worker, Court Service Worker, Probation/
Parole Officer - is discussed as part of Chapter VI, which deals with
adult and juvenile probation and parole agencies.

A two-step approach to data collection was used. First, personal interviews were conducted with key personnel to obtain intensive information in operational settings. Secondly, written instruments were completed by individuals in group sessions or left with designated coordinators who took responsibility for getting the forms filled out and returned. Description of the detailed sampling plan plus copies of the survey instruments are included in the Appendix.



Actual data collected about juvenile corrections are incomplete due to real world constraints. Some of the limiting factors include inappropriateness of data collection instruments, time constraints, unavailability of relevant staff, and unavailability of requested information.²

Perspectives on juvenile corrections will be provided in five major sections. Briefly, these sections deal with agency characteristics, factors affecting manpower staffing, personnel system characteristics, key occupational analyses and analysis of trends affecting future manpower needs. For most topics, the general format will consist of a presentation of state head-quarters information followed by separate discussions for each of three basic categories of juvenile agencies — detention centers, training schools and community—based programs.

A. DESCRIPTION OF AGENCIES VISITED

1. General Characteristics

The sampling plan for juvenile corrections called for the selection of ten state juvenile headquarters and the subsequent selection of individual agencies within the states to represent different types of facilities. Nine state headquarters provided data. Juvenile corrections authorities in the tenth state eventually elected not to participate in the NMS. Thirty-five local agencies were visited in the nine states and a single agency was visited in the tenth state. The numerical breakdown, by type of local agency, was 10 detention centers, 9 training schools and 17 community-based programs. Specific youth corrections headquarters and local agencies surveyed are listed in Table VIII-V-1. Descriptions of the three basic types of juvenile agencies are given below.





Table VIII-V-1
Youth Corrections Headquarters and Agencies Visited by Correction Team

STATES	YOUTH CORRECTIONS	DETENTION CENTERS	TRAINING SCHOOLS	COMMUNITY-BASED PROGRAMS
MARYLAND	•Department of Juvenile Services		•Maryland Training School for Boys	●Youth Services Center
ILLINOIS	•Juvenile Division, Department of Corrections		•Illinois Youth Center - Valley View	•Unified Delinquency Inter- vention Services
NEW YORK	•N.Y. State Division for Youth	•Monroe County Children's Detention Center	•Industry School •Urban Home #4	•Rochester Monroe County Youth Bureau
MASSACHUSETTS	•Department of Youth Services	Roslindale Youth Center Charlestown Overnight Arrest Program Camp Halifax DYS Detention and Assessment Center for Girls		Cambridge Youth Resources Center Hastings House Community Advancement Program
IOWA	•Children Services Division, Department of Social Services	●Polk County Juvenile Home	eEldora Boys Facility eMitchelville Facility for Girls	●Youth Guidance Program ●ADAPT Inc.
FLORIDA	•Division of Youth Services	●Youth Hall ●Non-Secure Detention	•Florida School for Boys at Okeechobee	Pentland Hall (halfway house for girls) Dade Marine Institute Miami TRY Center
COLORADO	eYouth Services Division			•Westside Youth Development Program •New Pride •S.W. Youth Employment Service •Jefferson County Dept. of Social Services
TEXAS	•Texas Youth Council	•Dallas County Juvenile Detention	•Gainesville State Home and School	
OREGON				•Morrison Center
CALIFORNIA	•California Youth Authority	Southern Reception Center and Clinic (Norwalk)	•Fred C. Nelles School	•Pomona Juvenile Diversion Project
TOTALS	9	10	9	17



a. <u>Detention Centers</u>. Generally, detention centers provide holding sites for juveniles awaiting court disposition. How long a juvenile stays at a detention center can vary from overnight to several months.

Operationally, although some juvenile detention centers provide medium or maximum security, all detention centers surveyed in this study may be considered minimum security. Grounds are surveyed, the whereabouts of juveniles are monitored and doors may be locked.

The number of youths detained at any one time in a center is usually small. For example, at two of the detention centers surveyed, space is available for 12 and 14 juveniles, respectively. Another center holds 30-40 youths at any one time and about 100 juveniles can be accommodated at one of the larger detention centers.

Included in the category of detention centers is one facility which primarily serves as an interim stopover for juveniles officially committed to the juvenile corrections department. Because this facility specializes in diagnosing needs and recommending treatment programs, and because it serves a large geographic area, the population served at one time can rise to 350 juveniles. In 1974, nearly 4,900 wards were processed through this facility. At one of the smaller centers, only 550 to 750 youth may be detained over the course of a year.

b. <u>Training Schools</u>. Youths assigned to training schools represent official commitments to juvenile corrections departments. Whereas adult institutions run the gamut from maximum to minimum security, juvenile training facilities tend to be primarily minimal level security with only an occasional site set up on a more stringent security level. Many training schools do, however, have one or more secure "cottages" or units.

Of the training schools visited, the number of youths at any one site ranges from about 170 to 560 with the more modal response around 200. Over 50% of commitments to the school with the largest ward population are from adult court.

According to limited data provided, the number of admissions and releases on a yearly basis relative to the number of youths committed at any one time roughly yields a ratio of 3 to 2. At one school, for example, about 600 commitments are made per year, about 600 juveniles are released, and nearly 400 young persons are incarcerated at any one time.

c. <u>Community-Based Programs</u>. This category includes the most diverse set of programs. Compared to offerings at the adult level, there is greater variety in type of programs available at the juvenile level. So far, the major thrusts have been toward diversion in lieu of court processing and development of community-based alternatives to training schools. It appears that attention has only recently turned to actual prevention of predelinquent behavior. This shift in focus means that juveniles are dealt with at points earlier in the system.

The variety of types of community-based programs offered for juveniles can be illustrated with some examples. Included in this category are several state-administered youth bureaus offering integrated sets of services such as residential programs and various special day programs. Examples of LEAA-funded projects falling into this category are programs that incorporate youth advocacy as a final alternative to commitment; those that present learning modules especially designed for individual needs, including learning disabilities; and those that provide prevocational education, job placement, on-the-job training, and follow-up community services.

Specialized programs are sometimes provided on a purchase of service basis. Drug treatment and marine sciences training (including practical experience in boating and water skills) represent two specialized alternatives that are operated by groups or institutions contracted by, but not under the direction of, state headquarters or local agencies.

The types of programs offered by community-based facilities are so varied that it is difficult to evaluate common characteristics such as number of youth served. A comparison of residential vs. non-residential programs provides the best context for consideration of this issue. One residential program visited is a half-way house which accommodates about 20 girls. On a non-residential basis, a 4-week, several-hour-an-evening program is offered to about 15-20 youths per session. Each of two other non-residential facilities offer a variety of services to about 100 and 400 juveniles, respectively.

2. Linkages with Criminal Justice Agencies and Other Organizations

A continuum will be used to illustrate how juvenile corrections organizations relate to other criminal justice and governmental or community organizations. All of the criminal justice and related organizations can be arranged along the continuum which runs from most similar in purpose to the juvenile corrections agencies to most different. Juvenile corrections agencies themselves represent one end of the continuum; there is likely to be a great deal of similarity in the services provided and the clientele served by all juvenile corrections organizations. State headquarters, regional offices, and local agencies which deal with juveniles can be placed at this end of the continuum. The next category on the continuum is represented by adult corrections agencies, which have some overlap with juvenile corrections. Agencies in the law enforcement and judicial sectors come next in the movement on the continuum

away from organizations similar to those in juvenile corrections. State planning agencies can be placed next, followed by LEAA, which is involved at least indirectly. Beyond the confines of criminal justice agencies are governmental and private social service agencies plus a host of community resources, including schools and local businesses. At the far end of the continuum come the legislative and executive branches, which play significant roles on a fiscal and major policy level.

Irrespective of agency level, both formal and informal relationships with other agencies and organizations tend to vary depending on the agency in question and the organizational structure in which it is embedded. Some uniformity undoubtedly exists to the extent that state headquarters and local agencies do interact with LEAA to obtain educational/training subsidies and to receive grants which are funneled through state planning agencies to establish programs that meet certain common criteria. The exact nature of such interactions depends upon key individuals in each agency as well as more formal interaction patterns. In some cases, a strong working relationship may have been cultivated; in other instances, any interaction that occurs is a function of necessity and formal requirements.

Most detention facilities are administered by local government agencies (e.g., towns, cities, counties) whereas training schools are usually run by state departments of youth services. Some community-based programs are administered at the state or local government levels. Other community-based programs may be run by private contractor, purchase of service arrangements, or court established alternative programs. Special projects which are at least partially funded by LEAA, usually under the auspices of corrections, can be administered by social service/welfare departments. Since the above programs

are not government administered, they require different linkages with other organizations.

The movement toward community-based facilities for juveniles has forced programs to take advantage of existing community enterprises and to promote the development of new facilities to meet needs of special groups of juveniles. The purchase of service system allows juvenile corrections to require contractor accountability; if requirements for services to be provided are not met, contracts can be cancelled.

Judicial involvement in the development of community-based programs can be illustrated by looking at the program found in one local agency. Developed in response to a judicially perceived need, the evening program lasts one month and offers a more structured direction for youths. The program thus provides a middle ground between traditional alternatives of straight probation and the constant supervision of a training school.

Most of the special projects surveyed that are funded at least in part by LEAA are under the auspices of juvenile corrections. Two such projects focus on helping youths who are likely to be committed to juvenile corrections departments because of previous offenses. Besides dealing with court referrals, another program in the survey also accepts referrals from the youth service bureau, the school and parents.

Two other special programs are not being run under the auspices of juvenile corrections, but under welfare/social service departments. In one program,
youth and family counseling are provided to those on welfare to help improve
the home environment. Some of the welfare families benefiting from this program include delinquent youths. Sources for funding this program are local

government, HEW and LEAA. The second program, supported by LEAA funds alone, is aimed at providing counseling to predelinquent/delinquent youths and their families during crisis situations and involves coordination of services with the juvenile court, law enforcement agencies and the schools.

As illustrated above, a great variety of programs for juveniles has been developed to serve different purposes. Program relationships with the courts, law enforcement agencies, schools and businesses have been developed in different ways to meet different needs. Because of this diversity, services provided by juvenile corrections tend to be fragmented rather than well integrated.

Facilities for juveniles and adults are often administered under separate divisions of a state-level corrections department. Attempts to coordinate provision of services by juvenile and adult corrections divisions have been limited.

The legal definitions of juvenile and adult officially determine whether an individual is tried in juvenile or adult court. Age typically defines the boundaries for court jurisdiction. The maximum age for juvenile court original jurisdiction is 17 years in most states. Individuals up to the age of 21 can be handled by the juvenile court under continuing jurisdiction in some states. Individuals tried in adult court can, in some instances, be committed to the juvenile department of corrections.

The degree of court control exercised over a juvenile varies among states. In one state surveyed, courts have total control over juveniles - a youth cannot be released without court permission. In other states, juvenile corrections officials may exert substantial influence.

Interactions with law enforcement agencies also vary among states. Police in one state cooperate with juvenile authorities when making investigations, but may complain that a youth is diverted before police finish the required paperwork. In another state, several juvenile corrections staff members serve essentially as law enforcement liaison specialists, working full time with law enforcement personnel to provide technical assistance. Alternatively, one state surveyed has little interaction with law enforcement agencies.

The extent to which various agencies, including those for juvenile corrections, come under the same umbrella administratively within a state has a marked effect on the interrelationships among agencies. The approach in some states is to establish a unified organizational framework for all human service agencies, including law enforcement/criminal justice and social service/ welfare. Such a system has the potential of integrating delivery of services to meet youth needs. In more separate state systems, agencies may have no way of tracing the history and experiences of juveniles before they enter corrections compounds or after they move on. In some instances, one agency may not be aware of services being provided to youths by another agency at the same time.

3. Conclusions

Summary statements about the way juvenile corrections is organized and how it relates to other agencies are presented below.

- There is a greater variety in types of juvenile facilities than in adult facilities, probably because more innovative approaches to dealing with youths have been attempted.
- The proliferation of programs has led to fragmentation of services, so that there is a tendency for juvenile corrections to be poorly integrated.

- As the level of analysis is carried beyond the juvenile corrections department the level of fragmentation increases:
 - Relationships with adult corrections are often a function of formality and necessity. Few and only sporadic attempts have been made to jointly coordinate juvenile and adult corrections for uniform provision of services.
 - Some juvenile and adult diversion programs have been developed by the courts as alternatives to commitment.
 - Informal programs involving police are available on a limited basis.
 - Few attempts have been made to organize human service agencies under a common umbrella so that services to juveniles can be efficiently provided. Both poor coordination of efforts by different agencies and the absence of effective program monitoring have limited effectiveness of programs.

B. MAJOR FACTORS AFFECTING MANPOWER STAFFING

The following discussion concerns three factors which affect manpower staffing: manpower needs, resource constraints, and legal issues.

1. Manpower Needs

At the state headquarters level, manpower needs tend to be a function of the relatively unique set of circumstances existing in each state. Historical development of juvenile corrections within a state, as well as prevailing department philosophy, have considerable influence over what manpower needs receive top priority. Despite differences in relative importance of various needs, some generalizations can be made across states.

Because of the tight economy, juvenile corrections departments will need to show state executive and legislative branches that programs are effective and necessary. Staff will be required to evaluate programs to justify expenditures of funds. These newly defined tasks will have to be accomplished by added staff or by reteaching the existing staff.

Another set of manpower needs revolve around the f sue of affirmative action. Rural parts of some states have nearly no minority populations so that hiring minority staff for facilities located in rural areas can be difficult. The problem is especially pronounced for training schools staffed primarily by rural whites. Beyond this issue is the general consideration that more training and promotional opportunities are needed for minorities and women.

One effect of the recent trend towards closing of training schools is that staff with institutional backgrounds need retraining to better work with juveniles in community-based settings. The organizational frameworks of institutions and communities are sufficiently different so as to make transferability of skills difficult. With the greater diversion to community programs, youths who are now being committed to the remaining training schools represent the "hard core" recidivist offenders. Staff with better qualifications are needed to deal with these youths.

At the local agency level, key occupations were analyzed for manpower needs and shortages. These are reviewed according to the three agency types.

a. <u>Detention Centers</u>. Chief executives at half of the detention centers surveyed noted critical manpower shortages, especially for the position of houseparent (direct-line youth supervisors) and secondarily, for counselors. A need for additional child care workers or houseparents in detention centers has been created by current community pressure to keep alleged juvenile offenders locked up, the high level anxiety level that juveniles experience at this point in the judicial process, and the brevity of the stay. To overcome the counselor shortage, one program uses volunteers to do some of the work.

Manpower shortages also develop when new programs are added. At one center, for instance, a grievance mediator, fact finder and investigator are needed to support the new state mandated ward grievance program.

A variety of reasons are given for the manpower shortages that have been identified by the agency administrators. These can be grouped into three major categories: budgetary cutbacks/freeze on hiring new staff, addition of new programs to be conducted by existing staff, and change in the ward population over the last few years—youths in the correction system are older and

more sophisticated than before. Less criminally sophisticated youths are generally diverted to community programs or put on probation by the courts.

Personnel shortages have significant and varied effects both within corrections agencies and outside them. Internally, the general effect of limited staff is the reduction or curtailment of program activities. Staff involvement is discouraged and because there is pressure to maintain security, staff become more custodial. Externally, the effects of being understaffed are felt by the community, which is potentially in danger from escapes.

A few attempts have been made by administrators to reduce the shortages. Most usual is a direct request to headquarters to increase staff, but this approach is not often successful because it is difficult to convincingly demonstrate the need for additional staff. In addition, hiring freezes override any request for more staff. One center has tried to get CETA positions. Another center has tried to permanently assign trained staff from regional facilities that have closed.

b. <u>Training Schools</u>. As with detention center administrators, about half of the training school executives indicate current manpower shortages in key occupations. Again, these shortages exist mainly in houseparent positions and less often in counselor positions. In contrast to detention centers, however, where shortages were generally limited to houseparent and counselor staff, a variety of other positions were mentioned for training schools. Some of the alternatives cited were in clerical, psychiatric, teaching, maintenance and medical fields.

Causes of the manpower shortages include the usual reasons of lack of funding, budget cutbacks and ineffective budgeting. Other reasons include

high staff turnover, necessity of additional qualifications for staff working with tougher youth, change in department philosophy, and increased caseloads.

Effects of shortages tend to be more severe internally than externally. Staff morale is generally low because of extra work with no overtime pay and no opportunity for compensatory time off. As the ratio of students to staff goes up, amount of interaction per student goes down as does the quality of interaction. Staff suffer from "battle fatigue." They receive little support in a high stress environment. As evidence of such an effect, use of sick leave is way up at one school. In addition to having a direct effect on staff, shortages curtail program activities and services.

Externally, schools usually try to maintain a low profile in the community and to keep the number of runaways down. Generally, community dissatisfaction is absent or minimal but as runaways increase, so does community concern.

To attack the problem of personnel shortages, more positions are usually requested in new budgets. Such requests can include temporary as well as permanent positions to deal with overpopulation.

c. <u>Community-Based Programs</u>. In sharp contrast to both detention centers and training schools, for which half of the administrators claim critical manpower shortages, few community-based programs suffer from understaffing. This can logically be expected for at least two reasons. First, the preferred method of dealing with juveniles in recent years has been directed toward community programs rather than toward some form of incarceration.

Through public pressure, however, the tide may now be turning to a more stringent handling of those juveniles who have committed major offenses. Secondly,

some of the programs included in this survey are exemplary and often only recently established so that staffing is likely to be more appropriate for actual need, given the more recent evaluation of that need.

Of the agencies expressing critical manpower shortages, all indicate that counselors are needed; counselors essentially make up the entire staff. Other personnel categories mentioned include specialists in education and job development.

The usual reason given for manpower shortages is that of budget cutbacks. However, this is not always the case. One program, for example, was sold to the legislature as being cheaper to operate than a training school, but manpower needs were underestimated. The program did not take into account the possibility of high staff turnover and the problems associated with training new staff in an experimental program.

The obvious effect of manpower shortages is the strain of additional work on whatever staff are available. This in turn implies a somewhat less effective staff due to long hours and reduced morale. Some programs suffer from political pressures which affect delivery of services.

To overcome manpower shortages, additional positions have been requested. but usually not granted. One program has bolstered its provision of services through acquisition of an LEAA grant.

2. Resource Constraints

Two basic categories of resource constraints are included for discussion here. In order of presentation, they are financial limitations and training and education needs.

a. <u>Financial Limitations</u>. Clearly, the most obvious limitation on efforts to expand staff and program services is money. In almost every case, money presents an obstacle.

The economy, of course, affects the funds which are available. How these monies are allocated by the legislature depends to an ever increasing extent upon documentation and justification of existing programs and similar supporting data for new programs.

Such requirements put pressure on program staff to accurately document their activities in order to demonstrate fiscal responsibility. Because this type of paperwork is mandatory and increasingly specific, the amount of time devoted to other activities and provision of services is being reduced.

Beyond the resource constraint produced by requirements for accountability is the general financial status of state governments. Some states are essentially in financial crisis. To reduce current state budget deficits, agency budgets are slashed. In one state surveyed, for example, agency budgets were cut 10%. The bleaker the state fiscal picture, the cloudier are juvenile corrections chances to obtain some of the limited resources.

An additional complexity is provided by the effect politics can have on organizational structure and spending. The governor of one state sampled would not raise taxes even though operating expenses have clearly risen. Political influence in the form of patronage was cited by another state juvenile corrections department as causing problems.

Another influence on how funds are allocated is the visibility of juvenile corrections relative to other departments. 7 In one state, juvenile corrections

is under the auspices of a much larger department of health (headed by a health specialist) and tends to be down played. Not enough priority is given to juvenile services, especially relative to adult corrections. Alternative solutions might be to separate juvenile corrections from the department and reassign priorities so that juvenile corrections are more easily visible to the governor and legislature, or to increase citizen awareness of the program and its problems, thereby creating public pressure for attention to these activities and issues. One focus gaining this type of increased administrative and public support is delinquency prevention.

A major source of funds for juvenile corrections is LEAA seed money. A variety of observations were made by state headquarters executives about LEAA funding policies. One executive acknowledged the importance of LEAA funds to develop and try out innovative programs not otherwise possible. Another executive felt that LEAA allocations were a little too short lived. Rather than provide project support for three years and then require local agencies to assume project costs, LEAA should make funds available on a continuing basis to support good programs.

One complaint voiced by executives from several states focused on the percentage of funds allocated to corrections. The usual comment was that LEAA should decrease its emphasis on hardware in the law enforcement sector and insure that at least some monies be earmarked for corrections.

An alternative method of distributing funds to states was suggested by one executive. Rather than basing distribution on state population, LEAA should allocate monies according to percent of crime relative to other states. States with the most serious crime problems would then receive the biggest pieces of the money pie.

b. <u>Training and Education Needs</u>. In addition to the obvious resource constraint of dollars, a factor affecting manpower staffing concerns training and education. Both influence the quality of manpower operating in the juvenile corrections domain. Training currently being provided is woefully inadequate. Chief executives uniformly point to the need for training.

In one state, the need for a centralized training department is evident.

This need is echoed by another state headquarters administrator who notes that there is no systematized training provided to juvenile corrections personnel.

Besides discussing how training could be comprehensively provided to personnel, most administrators list specific preservice and/or in-service training needs for key occupations. Some topic areas requiring attention include interpersonal skills, how to deal with different types of juveniles, and how to handle juveniles with special needs. These subjects are especially appropriate for the key occupations of houseparent and counselor. At the administrator level, the major area of instruction needed is management training.

Another problem in offering necessary training is how to make staff available for training programs. Adequate release time is needed.

One need related to training, as expressed by state headquarters executives, is LEAA provision of monies. Most executives feel the LEEP educational support program to be very worthwhile. Houseparents can get A.A. degrees and counselors with B.A.'s can get M.A.'s. Many staff members have relevant experience in dealing with youths, but not an adequate theoretical background to understand what they do and some of the reasons why. One problem with the LEEP program was noted, however. It is difficult to justify to the department the need to send experienced people for additional education to introduce new ideas and concepts.

At the local agency level, two thirds of the administrators questioned reported training needs. Most of these needs deal with improving skills of houseparents and counselors. Rarely is training for administrators mentioned as a critical need. Other major categories of training needs include legal issues, how to deal with community resources, and how to exchange information and ideas with other programs. Even those administrators who responded as not having critical training needs expressed areas of training that would be desirable, or offered the general statement that staff could always benefit from training. More detailed discussion of training needs at the local agency level will be presented as the needs relate to the three major groupings of juvenile agencies.

(1) <u>Detention center.</u> Most correctional administrators feel the major training need for houseparents is instruction in how better to understand the different kinds of juveniles and interact with them. Some executives are concerned with keeping abreast of counseling techniques. Only one executive felt supervisory training was urgently needed. Several other topics are listed as priority areas. These include description and implications of laws about juveniles, wards rights and what they mean (one aspect of the legal status of children), and security through self protection without a weapon.

The centers which indicate no critical training needs do suggest training would be useful in some areas which could improve the quality of staff and client interactions. These include ways to avoid past mistakes, how to deal with explosive behavior in a confined area without the power to control significant others like parents, and workshops with staff from other detention centers to exchange ideas and information.

(2) <u>Training schools</u>. A proportionately larger number of training school than detention center executives identify critical training needs. Most executives feel critical training needs exist for both houseparent and counselor positions. Other executives point to the need to train houseparents in particular. Training for correctional administrators in high level supervisory and management skills is infrequently mentioned as a critical need.

Several other general topics for training were noted. These include security and custody operations and how the training school works. It was thought that recycling staff to other jobs would help to combat the "burn out" which is otherwise a problem.

(3) <u>Community-based programs</u>. Most community-based administrators who responded identified critical training needs. The focus was on the key occupation of counselor. It is the counselors, of course, who are the core of the community-based staff. For one program, which interacts with the court system, the training needs highlighted included such subjects as the attorney relationship and how to present plans to the judge. The executive of a court-alternative program felt it important to know how best to exchange information with similar programs elsewhere.

Legal Issues

A series of recent court rulings dealing with the issues of human rights and privacy of information have potentially strong implications for juvenile corrections. The court decisions in the area of human rights is expected to particularly affect youths who are committed to juvenile corrections departments and who are classed as detainees. Grievance proceedings, including the right to petition, have resulted in the development of procedures to protect

these rights in some states and may require formal mechanisms in other states.

Obviously, specialized staff would be needed to operate such programs.

Privacy of information rights influence who has access to what information. In the past, records developed by juvenile corrections departments about youths passing through the system have been available to a wide variety of other agencies. Restrictions are now being placed upon transmittal of such information. How privacy rulings are to be interpreted for juvenile corrections needs additional delineation. On the other side of the coin is the right-to-know issue. Although manpower implications are inclear at this time, a general need becoming apparent as a result of the court rulings is one of gate-keeping. This activity may be absorbed into an existing occupation, or it may require separate, specialized staffing.

4. Conclusions

Factors affecting manpower staffing include manpower needs, financial limitations, training and education requirements, and the legal issues of human rights and privacy of information. Summary statements about these topics are presented below.

Manpower Needs

- Justification of expenditures for juvenile corrections programs will be required. State legislatures will request descriptions of how money is being spent to accomplish various objectives and will look closely at programs to determine to what degree they are successful.
- Skills for dealing with the "hard core" juveniles committed to training schools need to be upgraded for houseparents (primarily) and counselors (secondarily).
- Orientation to community-based programs vs. institutional programs is needed. The organizational frameworks are sufficiently different so that direct transfer of staff is not feasible.

Manpower shortages for institutions (detention centers and training schools) are greater and more pervasive than for community-based programs. Shortages are primarily for the houseparent positions and secondarily for counselor positions.

Financial Limitations

- The amount of funds allocated to juvenile corrections is a function of the financial stability of a state, the political climate, and the visibility relative to other state departments.
- Juvenile corrections usually takes a back seat to adult corrections in relative importance and in terms of amount of resources expended.
- Corrections, both juvenile and adult, is often given low priority relative to law enforcement and judicial sectors, both in the public image and in amount of federal monies received.

Training and Education Needs

- There is a critical need to provide comprehensive training to juvenile corrections staff.
 - Most training needs deal with improving skills, especially for houseparents and counselors.
 - Rarely are training needs indicated for facility administrators.

Legal Issues

 Human rights and privacy of information/right-to-know issues have implications for juvenile corrections. What effect this will have on manpower staffing are presently unclear.

C. ANALYSIS OF PERSONNEL SYSTEMS CHARACTERISTICS

An examination of the personnel system is at the core of manpower analysis. The organizational structure and process found in personnel systems clearly have an effect on persons in key occupations. The various features of personnel systems which will be scrutinized here include staffing, selection and turnover, EEO/affirmative action, career development, training and unions/civil services. Based on this review, the most needed personnel system improvements are identified.

1. Staffing of Key Occupations

For the four key occupations of interest, growth patterns can be identified by state over the four year period 1973-1976. Within this period, two time frames are considered. To indicate short-term growth in personnel, the differences between the then current and previous year data are considered (i.e., 1975 vs. 1974). To arrive at an impression of long-term growth, differences between 1973 and estimated 1976 figures are used.

On both short- and long-term bases, all key occupations increased in numbers. Growth patterns for each of the key occupations are briefly described below.

For correctional administrators in training schools and detention centers, short-term growth is minimal, with most states essentially maintaining status quo. Long-term growth generally reflects small increases in personnel. Only one state surveyed indicated more substantial growth for this category.

Correctional administrators in community-based programs experienced somewhat greater increases over both the long- and short-terms. Several of the states exhibited considerable long-term growth (more than 20%), which may reflect a continuing emphasis on community-based programs. However, a few other states indicated a basic stability over the short- and long-term periods.

For the key occupations of houseparent and counselor, short-term growth patterns are identical to each other, and long-term growth patterns are nearly identical. Both of these positions exhibit greater growth than correctional administrator positions, both short- and long-term. More than half the states responding indicate moderate short-term growth. Long-term growth for most states is spread over a range that runs from moderate to considerable (5% to more than 20%).

The key occupations of houseparent, counselor, and community correctional administrator all show consistent growth. The more halting growth of the correctional administrator position in training schools and detention centers could be anticipated. The large facilities typically managed by correctional administrators do not proliferate as quickly as comparatively small community-based programs.

Consideration of the same four-year period (1973-1976) at the local agency level is given by basic agency type.

a. <u>Detention Centers</u>. Paralleling the trend which is apparent at the state headquarters level, the number of correctional administrators tends to remain constant for a given facility over time. The number of administrators tends tors remained relatively constant over the period 1973-74 with a minor change

in the number of youth served. Across the board, 1976 projections of the number of administrators per agency is the same as the 1975 staffing. The number of detainees is also projected to remain the same in 1976.

The number of correctional administrators has no direct relationship with the number of detainees at centers at any one time. For example, two administrators may have responsibility for groups of detainees that range in size from 14 to 94.

At centers with no counseling staff, houseparents represent at least three fourths the number of detainees. Examples of houseparent/youth ratios for three different centers are: 9:12, 13:14, and 74:94.

For detention centers which do have counselors on board, the houseparent/detainee ratio is more discrepant. Examples representing two sites are 9:22 and 17:40. In these sites, the number of houseparents is generally close to one half the number of detainees while the number of counselors per center relative to detainees ranges from 1:4 to 1:8.

For most agencies projecting 1976 staffing ratios, the number of houseparents relative to youth is expected to be roughly the same as for 1975.

b. <u>Training Schools</u>. According to personnel at the state head-quarters level and, as is true for detention centers, the number of correctional administrators for training schools tends to remain constant over the years. In fact, based on available survey data, the number of administrators per location remains the same for the four-year period in question. The number of executives per agency varied between one and four.

The number of wards at training schools visited in 1975 varied from 150 to about 625. The growth patterns in terms of number of youth served show no consistency and appear to be idiosyncratic. For one school visited, the curve indicating increases in wards is basically flat for the four-year period. At another school, a gradual decrease in number of wards occurs. The reverse is the case for a different school with an estimated gradual increase in youth population. Still a different picture is given by a school which shows an increase of about 85% in 1975 - a drastic departure from previous years. Projected 1976 figures yield a decline of about 25% relative to the 1975 levels for this agency.

The number of houseparents tends to fluctuate in direct response to increases and decreases in the youth population. Of the schools providing data, the ratio of houseparents to wards in 1975 varies from 1:2 to 1:6. At the school with the 1:6 ratio, 1976 projections indicate the ratio will be lowered to 1:4. In absolute numbers, houseparent staff at schools in 1975 ranged from 72 to 111.

The number of counselors tends to remain constant with some signs of a decreasing over the four-year period. Year by year, the number of counselors remains about the same or increases or decreases by one or two at any one school and does not appear obviously related to the size of the youth population. Available data indicate the number of counselors per school in 1975 ranges from 4 to 12.

In overall projections for 1976, staff tend to maintain the same ratio to number of wards. The manpower requirements for training schools is not likely to change in the immediate future.

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c. <u>Community-Based Programs</u>. Most community programs tend to be relatively small, so the number of administrators is usually one or two. One agency made use of a part-time director until the fall of 1975, when a full-time administrator was appointed. In general, the number of administrators in a program tends to remain the same over time.

The houseparent position at the community level is essentially nonexistent — counselors make up the staff. Typically, they perform some of the traditional houseparent functions involving minimal levels of security and surveillance. The number of counselors tends to remain the same within established programs, but the number of counselors specializing in certain areas may change as program emphases change.

One program visited had no counselors in the usual sense. Offering marine sciences education, on a purchase of service basis, it is staffed by those expert in boating, diving, oceanography, etc. A counselor with the juvenile corrections department serves as liaison to the program.

2. Selection and Turnover

Several aspects of personnel selection and turnover will be discussed in this section. In order of presentation, these topics are: job entry requirements, recruitment, quality of personnel, new hires and turnover.

a. <u>Job Entry Requirements</u>. With the exception of houseparent positions that require a high school or GED diploma, key occupations in juvenile corrections generally require B.A. level degrees. Neither age nor physical requirements are important factors in selection for key occupations. Both correctional administrator and community correctional administrator will increasingly be required to have M.A. degrees. One influence on the

educational requirements for the key occupations has been the trend toward smaller, community-oriented treatment approaches. Rather than the state juvenile corrections director appointing administrators, there seems to be some movement to include them in new career service categories. Major factors contributing to possible changes in requirements include increased numbers of qualified applicants, continued trend toward community treatment, state licensing of social workers and continued impact of affirmative action. Entry-level requirements are profiled in more detail according to the key occupations below.

(1) Correctional Administrator (Training School or Detention

Center). No age or physical requirements are reported by any participating state for this position. At least a Bachelor's degree, but more often a Master's, is needed to assume the position of correctional administrator. Work experience ranging from one to six years may also be a requirement. In some states, work experience can be substituted for years of education, i.e., a Bachelor's degree with several years work experience may be comparable to a Master's degree with little or no work experience. 11

Few states report changes over the last five years in entry-level requirements for correctional administrator. Changes that were noted include the upgraded educational requirements of a Master's degree, position grading so that jobs can be filled by either promotion or transfer, and inclusion of the position as part of a new career service class. In a projection of entry-level requirements over the next five years, states reported that no significant changes were expected.

(2) <u>Community Correctional Administrator</u>. Entry-level requirements for this position closely parallel those for the previous types of

correctional administrators. Such similarity in requirements is logical given that the major difference between positions is the type of organization to be directed—in one case, a secure setting, in the other, a more open environment. Administrative functions tend to be similar regardless of type of organization; differences are more a matter of relative emphasis.

Community correctional administrator positions, like those for training schools and detention centers, have no age or physical requirements and an educational requirement of at least a Bachelor's degree, with a Master's degree preferred. Again, as with the correctional administrator position described earlier, changes in entry-level requirements for community correctional administrator include both position grading so that the job may be filled by promotion or transfer, and position inclusion in a new career service class.

(3) <u>Houseparent</u>. Surprisingly few entry-level requirements were listed by participating states. Only one state specified a minimum age requirement (21). No state indicated having physical requirements.

Half of the states noted that a high school diploma or GED was a necessary prerequisite for becoming a houseparent. Other requirements listed by various states are preservice training and work experience related to dealing with children. Some states view rearing one's own children as the most relevant experience,

Some changes were reported in entry-level requirements for houseparents over the last five years. Changes across states take opposing directions-the requirements become either more specialized or more liberally defined.

In one state, the educational requirement of a high school diploma or GED was added as a prerequisite for employment. This is in contrast to the

liberalization of requirements in another state where the emphasis is not on educational background, but on ability to deal with juveniles.

Overall changes forecasted in entry-level requirements over the next five years tend toward more specialized, not liberalized, requirements. One state anticipates increasing the educational requirement to a B.A. level degree.

Another contemplates the added requirement of experience in community treatment. A third expects that bilingual skills will be needed to work effectively in certain areas of the state. An important impetus for this is coming from the courts, i.e., Spanish-speaking juveniles should be allowed to converse in either language.

(4) <u>Counselor</u>. As with the other key occupations discussed above, there are no age or physical ability requirements for counselor positions. At least a B.A. level degree is required of all would-be counselors. In a few states, an M.A. with no work experience and a B.A. with relevant work experience are alternative requirements.

In general, there have been few significant changes in counselor job requirements during the last five years. Changes suggested for the future include both broadening of the type of work experience acceptable as an entry requirement and the addition of a specialized counseling degree as a pre-requisite for the job. 12

b. <u>Recruitment</u>. Different aspects of policies and methods for recruiting key occupations were examined during state headquarters personnel interviews. Included were such items as hiring sources and whether or not any key occupation was entry-level and/or required a Civil Service examination.

Most states reported that correctional administrator and community correctional administrator are not entry-level. Accordingly, the major methods









of filling such positions are primarily promotions and secondarily transfers. States overwhelmingly responded that a Civil Service examination must be successfully completed.

Without exception, responding states consider houseparent an entry-level position. It follows, then, that the majority of houseparents are new hires. Others are transfers, are volunteers who change status, or are promoted from positions like part-time assistant or administrative aide. States are split according to whether or not a Civil Service entrance examination is required.

With one exception, the counselor position is also considered entrylevel by reporting states. Recruiting sources, however, are fairly equally divided among new hires, transfers and promotions. Only two states responded that no Civil Service examination was required; the majority of states do require successful completion of this type of test.

Collectively, transfers comprise a fair proportion of houseparent and counselor positions. Juvenile corrections thus has a somewhat "closed shop" or intrasystem characteristic. Consistent with the "closed shop" phenomenon, juvenile corrections departments rely heavily on intra agency and personal contact recruiting to fill positions in key occupations.

Other sources of recruitment exist, however. The state-wide job announcement systems typically employed by Civil Service are the major means of recruiting from the "general population." Not surprisingly, colleges are also heavy recruiting sources for counselors since positions usually require college degrees. Of particular interest are social science majors.

The major change in the recruiting process over the last five years is that there are now many more applicants than jobs. This is certainly





advantageous from a systems point of view. Essentially, it is a buyer's market. Economics plays a major role in the availability of many qualified applicants. When a significant upturn in the economy occurs, juvenile corrections may be affected by a variety of factors. It can be anticipated that problems obtaining qualified personnel, especially for certain positions, will be an issue as it has in the past. Other problems to be encountered in the recruiting process may include low salaries as compared with the federal government and industry, lack of resources for contacting top candidates, difficulty of recruiting minorities for certain areas of the state, and difficulty in locating candidates with experience in residential settings.

- c. Quality of Personnel. Overall, across local agency types, present entry-level personnel are better or equally qualified as those serving in the positions five years ago. The abundance of applicants with good credentials helps to contribute to such a positive picture. The data, divided according to agency type, is presented below.
- (1) <u>Detention Centers</u>. Just over half of the agency executives note that personnel are better qualified now than five years ago. A major contributing factor to improved qualifications is that current employment shortages result in better educated, more motivated personnel than could be found in previous years. To illustrate, ex-servicemen at one center were hired in the past because jobs focused on discipline; positions are now filled by those interested in helping youths. An explanation for the generally positive attitude toward today's youth, offered by one executive, is that in today's society more attention is paid to "people issues" like the Vietnam war, women's lib, and children's rights.



Less turnover in personnel is also a factor. One advantage of reduced turnover is that a more consistent approach can be used with the juveniles.

Of those agencies indicating no change in staff qualifications, several observations were made. The agencies may now have personnel with degrees in criminal justice or specialities in corrections, or with experience in other youth service programs. However, these characteristics do not seem to lead to a significant difference in performance. According to one viewpoint, attitude is the salient characteristic affecting performance.

(2) <u>Training Schools</u>. Administrator opinions about quality of personnel are more diversified for training schools than for detention centers. Some directors considered personnel better qualified. Others thought they were about the same or had both pluses and minuses, and still others felt personnel were less qualified than they were five years ago.

Better qualified usually means having more formal education or more relevant experience for entry-level positions. The general state of the economy is cited as a major contribution to the present ease in finding better qualified candidates. Furthermore, in one state, entry-level positions are not protected by law so that ineffective staff are let go. In the same state, another reason for finding better qualified personnel at entry levels is that the salary offered for houseparent positions has been raised.

The major reason given for no operational differences in staff performance even though the educational level of candidates now is generally higher is that those with only high schooldiplomas perform as well if not better than those with Bachelor's degrees. The opinion of some administrators is that staff is less effective; factors seen as influencing their performance are

low salary, lost motivation, depleted morale, and the fact that they applied for and took jobs in juvenile corrections because jobs in other areas were not available.

(3) <u>Community-Based Programs</u>. Comparison of entry-level requirements over a five-year period is not possible for many of the community-based programs visited because they have been established only within the last few years. A mixed picture about entry-level qualifications emerges from the examination of programs for which data do exist.

One position change in staffing is that personnel in community-based programs have better educational credentials than they did five years ago. Furthermore, intern programs were cited as important additions to college programs because they build experience into the educational process. Staff quality is also improved by being able to select from the abundance of candidates for entry level positions those who have previous experience in working with juveniles.

d. <u>New Hires</u>. At the state and local agency levels, the greatest new hiring activity occurs for houseparent and counselor positions because these occupations represent the largest numbers of employees. In contrast, few institutional or community-based administrators have been hired. In some states surveyed no administrators have been newly hired.

Newly-hired correctional administrators for detention centers, training schools, and community-based programs usually have previous management and supervisory experience. Appointment of individuals to key management positions in an agency may depend on such experience as a prerequisite.

In contrast to the above, newly hired houseparents probably have no experience in similar positions. For example, of 78 houseparents hired at one agency, only 13 had any type of similar experience. One reason for this is that the position of houseparent is usually considered to be entry-level—it demands few formal qualifications. Any relevant experience brought to the job are considered to be a bonus. Establishing strict requirements for houseparent employment is usually impractical because of the low salaries typically offered and the nature of the job. If the job focus were to be changed or the position were to be expanded and the salary increased, more formal requirements for the job would need to be specified.

More recently, there has been a tendency to hire, for work in detention centers and training school, counselors who have appropriate experience. For example, at least half of the counselors hired at reporting training schools had experience in like positions. Whether or not newly hired counselors for community-based programs have previous experience seems to be program specific and probably reflects the importance of experience from the administrator's perspective. To illustrate this difference, one agency hired new counselors who all had previous experience while during the same period, another agency hired 13 residential counselors, only 3 of whom had previous experience, and 13 outpatient counselors, none of whom had previous experience.

e. <u>Turnover</u>. Turnover represents another part of the picture depicting manpower movement. As could be anticipated from the low rate of

new hires, turnover for administrators is low. Whatever turnover does exist is due primarily to voluntary resignation, retirement, transfers, or promotions.

Turnover for houseparents is lower now than in previous years. Strains in the economy have reduced movement within the usually volatile position of houseparent. At one agency, for example, 21 houseparents voluntarily resigned and 4 were let go during one year, but the year before, 50 left voluntarily and 3 were separated.

For recent years, turnover for counselors has been stable. It is probable that greater opportunities for other jobs are more available to counselors than to houseparents.

Most persons leave the key occupations of houseparent and counselor voluntarily. Few are dismissed and a very small proportion of the turnover in either job category is due to retirements or transfers.

Two primary factors contribute to turnover. One, as could be expected, is the opportunity to get better jobs. The other is the poor career progression available for personnel in key occupations within the juvenile corrections system, especially for those having positions in institutional facilities.

In community-based programs, reasons for turnover tend to be more program specific. The variety of reasons offered include intensity of the work, lack of regular time off, lack of seeing very many juveniles become successful, disinterest in the program, change in management, and requirement for longer term program commitment by staff than previously. Estimates across the various agencies indicate that future turnover will remain about the same or will

be lower, assuming that the current status of the economy remains essentially unchanged.

How executives would respond to a budget crunch requiring a reduction in personnel varies according to agency type. For detention centers, no clear cut approach emerges. Some directors would cut houseparent positions while others would make cuts in all others, including counselor and administrator, before eliminating the houseparent. The approach likely to be followed in training schools is more consistent. Houseparent staff would be retained and treatment, support, or teacher staff would be cut if necessary. The result would be more focus on custody and less on treatment. When possible, staff other than counselors would be cut in community-based programs, implying the elimination of some support or administrative positions.

EEO/Affirmative Action

A major issue that has affected juvenile corrections departments and agencies is the EEO program and affirmative action plans that have been adopted. All state juvenile correction departments providing information have affirmative action plans.

In general, as a consequence of affirmative action, more women and minorities are employed today than five years ago. In one state, for example, 29% of the work force were minority members in 1975 vs. 26% in 1973. In another state, 50% of professional positions are presently filled by females.

Some unusual effects of affirmative action are worth noting. For example, male child care workers (houseparents) have been added to a previously all female staff at one facility. At another, the goal is to hire whites, females, and Hispanics to integrate into a mainly black male staff. Overall, the

result of incorporating affirmative action programs into hiring and promotional policies is that agencies are moving in the direction of trying to hire personnel in other categories of sex and racial/ethnic groups than are now represented.

One frequently expected effect of affirmative action hiring of minority and female staff is that the morale of existing staff can suffer. This is not supported, however, by the data: there seems to be no widespread adverse influence on existing staff morale. In a few cases, morale was noted as higher.

Generally, there are no restrictions on what positions women or minorities can hold. There are some operational constraints for women, however.

These often revolve around the issues of privacy, e.g., females may not be the best persons to supervise male bathroom and shower areas. Female employ ees can also be restricted from covering male units clone and from transporting a male delinquent alone.

In attempting to implement affirmative action plans, special recruiting problems can develop. Most typically, these problems include low availability of qualified minority members, difficulty in hiring and retaining minorities, and difficulty in locating qualified minorities in rural and isolated areas. Because of the large number of applicants for each vacancy, some states and local agencies claim that they have no recruiting problems.

4. Career Development and Promotion Policies

Promotional policies and the extent to which career ladders exist are interrelated features of personnel systems. The existence of career ladders, which stress quality work and education and training as means for job advancement, indicates that serious planning has gone into enhancing job potential.

Career ladders typically amount to job specifications, issued by state merit systems and personnel departments, that outline the years of experience and amount of education and training (if any) needed for advancement from one level to another in a key occupation. The career ladder for counselor is the most well defined with all responding states indicating that opportunities for career progression have been delineated. For the other key positions (Correctional Administrator, Community Correctional Administrator and Houseparent), only half the states claim to have developed formal career ladders. When career ladders do not exist, advancement for these key positions is evidently circumstance specific, haphazard, or at best, informally defined.

In addition to considering formal career ladders, the survey attempted to uncover factors used to determine eligibility for promotion. Factors emphasized most for promotion in key occupations include supervisor evaluations, promotion examinations and experience in rank. Seniority and, somewhat surprisingly, amount of training receive little weight in promotion decisions.

A combination of sources are usually involved in determining standards for promotion, including the Department of Juvenile Corrections (almost always), state Civil Service (sometimes), and the State Department of Personnel (occasionally). While it is probably true that Civil Service somehow gets involved in certifying and disseminating promotion criteria, juvenile correction department staffs and special job studies provide significant input to the process.

5. Training and Educational Policies and Programs

This section provides information about the status of training given for key occupations and about historical and projected changes in training.

Sources of training information are state headquarters and local agencies.

Some level of training is provided by all states surveyed. However, at the local agency level, only one in four juvenile agencies is involved in any way with training. Various levels of involvement are exhibited; related activities include identifying training needs, identifying existing training programs, developing training packages, providing resource materials, and administering training sessions.

As might logically be expected, formalized training at the local agency level is predominantly provided by the larger, more traditional facilities—training schools and detention centers. Little or no training is provided at community-based facilities on an on-going basis. Whatever training is provided is given informally by staff experts in special subject areas.

As part of a detailed discussion of training, an overall description of administrative features will first be given. Other topics to follow in order of treatment, include general training characteristics, preservice training, in-service training, other training, and impacts upon training. With the exception of the last topic, which is limited to the state level, discussions take into account both the state and local agency levels.

a. Administrative Factors. Training in most states is delivered in a variety of modes, but most often on a regional or institutional basis.

Less common is the provision of training at centralized academies.

A major obstacle encountered in providing formal training, whether preservice or in-service, is the scheduling of employees. To the extent that local agencies require post coverage and shift work, the scheduling problem becomes further complicated. At one school, training has even been given at the job site. Because of the many possible interruptions, and the resulting loss of continuity, this method is not preferred. Employee training, when optional and on-going, can also suffer because supervisors do not realize sub-ordinate staff need and/or could benefit from training.

With respect to size of state training budget, a substantial range was reported, due in part to the fact that the size of state interacts with size of department and level of training. Over the last two or three years, training budgets have increased, sometimes quite substantially.

In their projections for the next five years, most states expect training budgets either to increase or remain about the same. Reasons cited for anticipated budget increases were to improve the quality of training and to meet mandates by the legislatures. LEAA has been a significant factor in developing juvenile training to its present levels; whatever training is now available in states is largely due to funds provided by this federal agency.

Little or no information was provided about estimated budgets for agency level training in the future. The one notable item, however, is that agencies presently having no formal training budget do not anticipate receiving monies earmarked specifically for training within the next several years.



b. <u>General Training Characteristics</u>. Statewide, the number of full-time trainers ranges from 0 to 24. Half of the states use part-time trainers and some states supplement their training staffs with consultants.

At the local agency level, the number of staff assigned to the training function at a single site varies from one to four. One full-time trainer, with or without a part-time trainer, is the most common staffing arrangement. The staff of four works as a team at a training school where two are full-time and two are half-time. This particular arrangement is unusual, according to team members, in that many of the training materials developed by the team for local use are disseminated for training at other facilities in the state.

It is sometimes the case that some of the individuals assigned to training at separate sites are not formally labeled trainers, i.e., they may be given a different official title, like counselor. The purpose here, however, is to describe training from a functional point of view, not from a point of view concerned with organization or labelling.

The ratio of trainers to agency staff varies from approximately 1:260 to 1:30. The larger ratio appears to be the most usual; the small ratio is, in fact, a function of special circumstances. A consultant for one grant is developing training materials for key occupations to be formatted in a manual.

Qualifications for trainers vary greatly among states. Requirements for work experience range from zero to four years. Educationally, a B.A. level degree appears to be a minimum requirement, with some states requiring an M.A.

At the local agency level, qualifications to be a trainer or assistant trainer range from none to at least one year work experience and from high

school graduation through a B.A., usually in any field. Reflecting the state-level requirement, the B.A. is most typical. Work experience requirements, which may or may not replace or supplement educational requirements, range from general employment at a youth-related facility to more specific job experiences. In one state, several paths can lead to becoming a trainer, including working in different jobs and participating in management development training in a trainer position.

There is a trend toward centralized, systematic preservice and in-service training development in juvenile corrections. In a few states, management training is also centrally planned and developed.

Types of training provided to local agency personnel by on-site training staff may be general orientation to the facility, including institutional policies and procedures; training regarded as mandatory by a department or legislature and not handled through a centralized academy; and specialized training for staff working directly with the youth, including communication, interview, interpersonal skills, and some career planning and promotional level skills. One agency operates by simply identifying existing training programs which meet staff training needs. No direct training is provided except for the orientation given to new employees.

Establishment of training requirements is most often done empirically, or at least systematically, and not on the basis of "expert judgment." Needs assessment is the usual method used. Sources for needs assessment can vary, however, from merit system specifications, to special needs assessment studies, to management input and observations.

Most states rely on some combination of training staff, curriculum writers, and departmentally established task forces to actually develop training materials and courses, although consultants may be utilized for this.

One state had no formal development group.

The training provided locally appears to be developed predominantly inhouse. In one case, generalized department level training for certain topics (e.g., Title 20) is administered at the local level in addition to locally developed materials. One institution provides only training developed by specialists at the headquarters level.

Most states systematically evaluate their training programs. At the local agency level, training is evaluated at least informally. Major evaluation methods used are surveying trainee attitudes about the course and assessing pre- and post-training performance. Also used are job observation and supervisory perceptions of whether training seemed to help performance of line staff.

The trainer or training staff usually evaluate the training at both agency and the state levels. As a result of such evaluations, the staff may modify or delete parts of training, strengthen weak areas, drop programs, develop alternate programs, or revise training methods and program materials.

c. <u>Preservice</u>. <u>Training</u>. Preservice training refers to training given early in key correctional careers. It is typically the first formalized training received. As a general introduction, new employee orientation is given, usually after the employee has been hired and preferably before he or she is given job responsibility. Such orientation can include a tour of the facility, and a description of what is done at the facility by the various

units and how that facility relates to other elements in the state correctional system. This basic orientation is usually four to eight hours in length and is mandatory for new employees. For those facilities that use volunteers, the same orientation program is usually given.

- (1) Administrator. None of the states providing data offer preservice training for administrators. This is probably because administrators are typically experienced both in supervision and management and in the correctional area.
- (2) <u>Houseparent</u>. For the key occupation of houseparent, the situation is different. Most reporting states have preservice training for houseparents and in over half these states, the training is mandatory. Length of training is usually two weeks, but ranges from one to four weeks in the states surveyed. Training content includes orientation and security and treatment topics. The most emphasis appears to be placed on security.

Over the last five years, preservice training for houseparents has increased in scope and sophistication. Several suggestions were offered as to how such training might change in the next five years. States which now offer training on an optional basis may be required by law to make it mandatory.

(3) <u>Counselor</u>. Most states have no mandatory preservice training for counselors. Some states have two-week programs and one state provides some ad hoc training at the regional level. As could be expected, training content emphasizes treatment. Future trends for counselor preservice training are unclear.

- d. <u>In-Service Training</u>. In-service training is defined as any formally provided training beyond introductory preservice training and can occur at any time during career employment. In-service training tends to deal with more specialized topics of a wide variety whereas preservice training tends to be more general. In contrast to OJT, which tends to be variable and individualized, in-service training is more formalized. This distinction may become blurred within agencies so that discussion of in-service training needs to be treated with caution.
- (1) Administrator. Ten states reporting data offer some type of mandatory in-service training to administrators. Those that do, include one state which gives two days of training on legal issues and labor relations, and another which offers training of variable length on management and resource utilization.

In the next five years, however, availability of administrator-level training will be on the upswing. Half the states reporting will increase or initiate in-service training for administrators, which may involve expanding training to include research skills and management of economic conditions, starting a live-in training program, or simply adding hours to existing in-service training programs.

Only one example of administrator-related training was uncovered at the local agency level. The trainer searches for existing management training programs to respond to specific administrator requests or identifies programs that appear relevant and brings them to the attention of administrators.

(2) <u>Houseparent</u>. Nearly all states offer formal in-service training to houseparents while half of the states make this training mandatory. The

typical length of training is one week. Some states have variable amounts of training depending upon need or desire.

In-service training content is typically treatment oriented. It can be recalled that preservice training, in contrast, was more security and custody oriented. Topics dealing with treatment include drug-related issues, reality therapy, group counseling, interpersonal skills, and behavior modification. Other topics include legal rights and report writing. Few differences were predicted for training offered five years hence.

At the local agency level, most training seems to focus on upgrading job skills, including interview techniques, youth management, dynamics of child care, communications, and interpersonal relations with youth and staff. Other emphases in houseparent training at this level are career development and promotional skill development.

In-service training varies in length according to topic, but ranges from one hour to several days. One notable exception is a program offered by a training school to improve skills relating to youth. The program lasts two weeks and has applicability for both the houseparent and the counselor.

Five years ago, little or no in-service training was offered. Even now, some of the training is newly designed or still in the developmental stages.

Future plans generally call for continuing such training or even expanding it.

Additional topics which could be added to in-service training deal with community resources and the use of family counseling to make better placements.

Factors that influence whether and when in-service training is offered include changes in policies and procedures, changes in the law as it relates to juvenile

delinquents and status offenders, need for promotional level training, and the general need to update and refresh professional skills.

(3) <u>Counselor</u>. Most states offer in-service training to counselors. Length of training varies from a few days to about two weeks. In half of the states this training is mandatory.

As with preservice training, in-service programs are typically treatment oriented. Some of the topics offered include family dynamics, group counseling, human relations, and interviewing.

Over the next five years, in-service training for counselors will most likely include more management skills. How to deal with youth with special needs (e.g., learning deficiencies, physical handicaps) will receive more attention.

Some local agencies have in-service training for counselors. As mentioned above, a two-week program at one training school, which is designed to help personnel relate more successfully with youth is relevant for counselors, as well as houseparents. Informal, after-regular hours training in special topic areas like family counseling and group dynamics is provided for counselors at another agency. Training being developed at still another agency includes psychological testing, interview skills and placement procedures to help youth ready to leave the center.

As with houseparents, counselors had little or no training in the past. Future efforts involve maintaining or expanding current programs. Scheduling counselors for training is somewhat easier than scheduling houseparents, but is nonetheless a problem.

(4) <u>General</u>. In addition to the training tailored for specific occupations, some agency level training is provided for all staff to varying degrees. This kind of training can involve the use of physical restraints and how to handle potentially explosive situations, and has most applicability for training schools and detention centers.

One noteworthy item concerning training occurs at a training school, which offers personnel training on what the law enforcement officer does and how it relates to the correctional facility. This seems unique in that it is the only illustration, in all the available data, of training given about a sector of the LE/CJ system other than corrections.

e. Other Training. Besides pre- and in-service training, other types of training are not widely planned or administered by juvenile corrections headquarters. Several states provide training in OJT and/or management skills. It should be kept in mind that OJT may be underestimated, and that management/supervisory training often is made available to corrections staff from sources other than juvenile departments of corrections.

At local agencies, OJT is usually accomplished informally, on a case-by-case basis when time permits. For example, a trainer may try to provide some experiences in the use of management skills for a new supervisor. In one agency, the training staff provides the resources and budget for OJT while supervisors actually do the training. At another facility, designated supervisors provide subordinates with OJT training as needed. OJT training essentially does not take place in any systematic way. Management training at the local agency level is virtually non-existent.

f. Other Impacts on Training. In general, the impact of affirmative action, unions and Civil Service on training has been negligible. Exceptions to this occur in several states. Training is being developed for women to facilitate upward mobility in one state. Because of unions, another state was required to add physical defense to training. In still another state, Civil Service administers the entire training package and monitors its implementation.

6. Labor Management Relations/Civil Service

Currently, unions appear to have little significant effect on key occupation personnel although their influence will probably grow in the future. 13

Unions rarely represent the positions of houseparent and counselor in the states surveyed. The two administrator positions are not represented by unions in any of these states. When unions do exist, they can affect salaries, benefits received, and working conditions directly or indirectly, depending upon whether they have official collective bargaining rights. 14

The effects of Civil Service are more widespread. Civil Service covers the houseparent and counselor positions in all states and covers both administrator positions in half of the states. Major features of personnel administration are affected by Civil Service in all states. These include salaries, benefits, and promotion and retention policies. Also affected by Civil Service, but to a lesser extent, are working conditions, job assignments, and workload. Control over these last three features is usually exerted at an institutional level.

Civil Service generally has a positive image among state executives. It is viewed as an important safeguard against budget cuts, and insures standardized

wages and personnel practices. Although the red tape is lengthy, Civil

Service procedures can facilitate the acquisition and retention of quality

staff. It was thought that the influence of Civil Service might decline with

growing support for union representation.

7. Most Needed Personnel Systems Improvements

A major factor affecting personnel systems today is provided by EEO and associated affirmative action programs. Although all of the states and agencies providing data claim to have programs promoting affirmative action, their present job selection criteria may not have been analyzed and modified to fit the programs. According to EEO requirements, all aspects of the selection process need to be job related, including any minimum standards given for age and educational levels, as well as any formal tests, such as physical performance, medical, or written examinations. It is questionable whether or not the entry level requirements that have been established for juvenile corrections positions are job related; they may simply be traditionally or generally acceptable standards. Is is necessary, for example, that a houseparent have a high school diploma or GED or that a counselor hold at least a Bachelor's degree in order to function effectively? To properly answer this and similar questions, an analysis is required of what is needed to do each job. Entry level requirements should be reviewed for their appropriateness for job selection. Promotional standards should also be reviewed for their relevance.

Besides the problems connected with establishing criteria for job selection and promotion, personnel systems may be affected by the extent to which basic positions will remain the same in content. There are some indications that the occupations of houseparent and counselor should be upgraded and professionalized. It has been suggested that nationwide credentialling be

instituted. Given the general impression that such a change is necessary, a rationale and specific details need to be set down. Exactly how would the positions of houseparent and counselor be expected to change? Would there be greater emphasis on treatment by houseparents? Would more sophisticated techniques be used by counselors to deal with youth?

Serious consideration should be given to the issue of educational levels required for the key occupations. One contingent in juvenile corrections proposes an increase in educational standards to promote professionalism. Another camp suggests that the significant issue is the ability to deal with the youth, irrespective of educational level; perhaps the distinctions made between houseparent and counselor functions are artificial and can be eliminated. This has already occurred to some degree in community-type programs where counselors perform some custody and security tasks, as well as treatment-oriented ones. Increasing the educational standards for these positions may only put meaningless requirements on paper and may not necessarily contribute to improved performance.

If major changes in job content are imminent, these should be delineated prior to performing job analyses and establishing selection/promotion requirements. If such changes are likely to occur in the more distant future, there is a need for analysis of the present jobs and development of new selection standards or review of current requirements. Whenever major changes in a job take place, consideration should be given to whether and how selection criteria should be changed.

Another issue worthy of attention is career development. Career ladders exist for some occupations in some states. Some form of career ladder exists for counselors, but paths of career development generally are not available

for administrators and houseparents. Those career paths that do exist usually involve progression in the same job category. Little opportunity exists to branch into other fields or specialty areas. To make juvenile corrections a viable career choice, greater emphasis should be placed on the development of career ladders that offer multiple opportunities for advancement in the same and related fields.

A major feature of the juvenile corrections personnel system is training.

Although current programs and applications are limited and fragmented, the potential benefits of development in this area are great.

Although steps have been taken by some states to establish centralized academies for training, this is only a beginning. Based on data from the field visits, personnel in key occupations do not all necessarily receive comparable training. Whether or not some personnel receive training is sometimes a function of variables other than actual need for training. Personnel may be required to cover agency posts, for example, or preservice and in-service training may not be offered because OJT is considered to be sufficient.

Training should be given higher priority. Introductory training needs to be mandatory, not optional. Training materials should be developed based on job needs and should be periodically evaluated to determine their relevance and to identify areas of training that need revision, updating, or elimination.

Not only should orientation training be provided to new employees, but skills training should also be offered. Although now provided by some states, it is unclear as to how appropriate and effective current skills training is. This type of training should be available not only to new staff, but to persons who have been on their jobs for some time and who need to learn about new techniques and approaches.

Staff sometimes need to be retrained, especially houseparents and counselors who work closely with youth. The need stems from a "burn-out" that results from prolonged, intense interactions with youth. A way of monitoring and identifying such needs as they develop should be available. Alternative skills training may be needed for staff who continuously work with youth.

Although it was not strongly demonstrated by responses to survey instruments, the need to provide management/supervisory training should be an area of concern. That the key supervisory positions were both at top management levels probably explains why this area received less stress in the survey. Executives in these key positions may have obtained skills through experience at other supervisory levels. It is at the lower levels—ones not covered in the survey— that the need for supervisory training is most urgent.

With the anticipated increase in union representation, chief executives will need training in collective bargaining and labor relations in general.

The potential influence of unions is likely to expand in both scope and intensity in the future.

8. Conclusions

Personnel management issues are summarized according to the following topics: job qualifications, affirmative action, new hires and turnover, career ladders and promotion criteria, training, unions/Civil Service.

Job Qualifications

- Houseparent positions usually require a high school diploma or GED.
 Key occupations of counselor, correctional administrator and community correctional administrator generally require at least B.A.
 level degrees, with some trend toward requiring M.A. level degrees.
- Entry-level personnel are generally better qualified today than five years ago. Economics play a major role in that more applicants with educational degrees and (to a lesser extent) relevant experience are available.

Affirmative Action

- All state and local agencies have affirmative action programs.
- Generally, as a consequence of implementing affirmative action programs, more women and minorities are employed today than five years ago.
- The goal of affirmative action plans is to hire employees in sex and ethnic groups not already represented in adequate numbers. Usually, this translates to hiring women, blacks, Hispanics and other ethnic group members. Sometimes whites must be hired to balance out a staff which is mainly black, or males must be added to a primarily female staff.

New Hires and Turnover

- Few administrators have been hired over the last few years for existing institutions and community-based programs.
- Most hiring occurs for houseparents. The next greatest number are hired as counselors. These occupations typically represent the largest number of employees.
- It is thought that numbers of staff in key occupations for the upcoming year will be essentially equal to current year figures. Basically, the policy is one of maintenance, not growth.
- Most turnover for key occupations of houseparent and counselor is due to voluntary resignations.
- Turnover for houseparents and counselors has been less recently because of the poor economic situation. Other jobs are hard to find.

Career Ladder and Promotion Criteria

- The career ladder for counselor is most well defined with the administrator and houseparent positions having less well defined career progression opportunities.
- Generally, standards for promotion take into account educational level and amount and type of work experience.

Training

- In general, training efforts in juvenile corrections have made little headway so far.
- There is a trend, however, toward the systematic and centralized development of preservice and in-service training.

- Almost no training at all originates at the local agency level. Whatever training is provided is usually orientation, and is provided at the larger, more traditional facilities - training schools and detention centers.
- Although most states claim training is evaluated, the quality of such evaluation is unknown.
- Most preservice training is provided for houseparents.
- In-service training is provided most consistently across states for houseparents, with counselors as the next most frequent beneficiaries.
- Little or no in-service training for administrator is now provided. Projections indicate that the development and dissemination of inservice training packages will increase.

Unions/Civil Service

- Unions now have little significant affect on key occupations but their influence will probably grow.
- Effects of Civil Service are more widespread. Houseparents and counselors are usually covered by Civil Service, whereas administrator positions may or may not be covered.

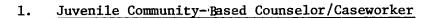
D. OCCUPATIONAL ANALYSIS OF KEY OCCUPATIONS

A major focus in the survey of juvenile corrections is the detailed analysis of key occupations. In addition to the positions of correctional administrator, the position of counselor was analyzed according to the breakdown of institution vs. community-based. Houseparent is limited to the institutional setting because the position is essentially non-existent in community-based programs.

The objectives of the occupational analysis are to: identify and describe the tasks that key occupation incumbents perform on the job; identify the knowledges and skills required for performing these tasks; assess the potential future task and knowledge/skill requirements and derive training and education implications of the current and future task-knowledge requirements for each key occupation.

The data on which the occupational analyses are based were developed through different stages of refinement following a Functional Job Analysis Model. Briefly, once task lists were developed and described in behavioral terms for each key occupation and required knowledges and skills were identified, they were reviewed for adequacy by juvenile corrections specialists. These were incorporated into Task and Knowledge Checklists corresponding to each key occupation for use in the field to collect incumbents' responses about which tasks they performed, the relative amount of time spent on the various tasks, the level of expertise in specific skills and knowledges needed to perform the tasks where they learned to perform the tasks, and how the tasks could best be learned. This basic task and knowledge requirements information, after review

by juvenile corrections experts and staff occupational specialists, provided the data for each of the following occupational analyses. The specific occupational analysis procedures are discussed in more detail in the methodology of the Appendix.



The data for this occupational analysis were collected from 26 counselor/
caseworkers working in juvenile community-based facilities in nine states.

Some jurisdictions make very clear distinctions between counselor and caseworker roles, but most do not. For purposes of this discussion they will be considered one category and will be referred to as counselors. The median age of the counselors was 26 years, their median education was a 4-year college degree, and their median corrections experience was 3 years. Half of the counselors were female, 73% were white, 15% black, and 12% were other ethnic groups.

a. <u>Task and Knowledge Requirements</u>. As determined by Functional Job Analysis procedures, the job of community-based counselor comprises 17 tasks and 67 specific skills and knowledges needed to perform the tasks. Not all skills and knowledges are required for all tasks and different tasks entail various levels of expertise in the knowledges/skills.

The relationship of the knowledges/skills to the tasks is shown in the Task-Knowledge matrix at the end of this analyses. The numerical values in the matrix cells, indicate the level of expertise needed in specific knowledges/skills for counselors to perform specific tasks. The Task-Knowledge matrix provides an overall picture of the current task and knowledge requirements for counselors in community-based facilities.

I.D. Code*

Tasks

- 1. Investigates and verifies by phone, correspondence, interview and observation, client's background and progress related to program expectations.
- 2. Interviews client to identify and classify client's skills, abilities and interests.
- 4. Establishes and maintains case record to evaluate client's progress and needs.
- 5. Receives information about client's behavior and takes appropriate actions.
- 7. Negotiates, develops, and modifies individual treatment plan with the client and assists client in implementing plan.
- 8. Evaluates home and family environment in order to develop treatment plan.
- 9. Advises and counsels clients, individually or in groups, concerning employment, education, community services, and management of personal affairs to establish realistic and socially acceptable behavior patterns.
- 10. Advises and counsels client's family, substitute parents, about problems in dealing with client.
- 11. Prepares recommendations, reports and dispositional plans on clients for Court staff.
- 12. Testifies at judicial and/or administrative proceedings, to client's progress.
- 14. Establishes and develops contact with employers of clients and school personnel.
- 15. Contacts and consults with community agencies, individuals and commercial firms to establish resources for client treatment and assistance.
- 16. Promotes and explains community-based programs and philosophies to improve public understanding and support of programs.
- 17. Coordinates the involvement of community citizenry in program activities (e.g., tutors, big brothers).
- 19. Coordinates information and plans concerning clients among law enforcement/criminal justice agencies, client's family, community agencies.

^{*}The task numbers above correspond to the numbers that identify tasks on the Task-Knowledge matrix. Some tasks have been deleted or combined during analysis to make them more relevant, which accounts for missing numbers in the above list of tasks. For this occupation, Tasks #20 and 21 were added by our expert consultants as representing important dimensions of the job not covered in previous task lists.

- 20. Screens and evaluates diagnostic and other materials for purposes of determining intake.
- 21. Coordinates provision of services to meet basic needs (medical, psychological, recreation).

The most critical tasks performed by counselors are tasks #4, 7, and 9, on the basis of the percent of incumbents reporting they performed the tasks and the amount of time spent on them. These tasks represent core activities in that they all bear directly on the counselor-client relationship and decisions based on this relationship.

The 67 specific knowledges/skills in the Task-Knowledge matrix are subsumed under six broad Knowledge Categories as shown below:

Knowledge Category

- A. Knowledge of the judicial and correctional systems (8 knowledges/skills)
- B. Knowledge of case files and information gathering (8 knowledges/skills)
- C. Knowledge of planning, managing and administering a counseling program (17 knowledges/skills)
- D. Knowledge of theories, principles and techniques of individual and group counseling (10 knowledges/skills)
- E. Knowledge of human personality, dynamics, handicaps, communication and specialized terminology (14 knowledges/skills)
- F. Ability to organize data, interact with clients, and coordinate efforts (10 knowledges/skills).
- b. <u>Training and Education Implications</u>. Two significant training issues are whether counselors have received appropriate training and whether training received was in the optimal, most efficient setting. Three occupational analysis sources provide data for assessing the implications of these training and education issues: (1) the Task-Knowledge matrix, (2) Task

Checklist summaries indicating where incumbents reported they learned to perform tasks (i.e., in academic, formal training, or OJT settings) and whether their training was too little, about right or too much, and (3) summaries of an equivalent set of incumbents about where tasks could best be learned. This information is summarized in Table VIII-V-2 on the next page.

The left portion of Table VIII-V-2 defines juvenile community-based counselor training requirements. Required training content is suggested by the column averages because they indicate the percent of specific knowledges/skills in each Knowledge Category needed at expert levels. The settings where the knowledges/skills can be most effectively learned, as determined by independent ratings of five staff occupational specialists, are noted above the letters identifying the Knowledge Categories (i.e., A, B, ... F).

Table VIII-V-2 data quite clearly suggest that on the basis of percent of specific knowledges/skills needed at a high level of expertise, Knowledge Categories F (ability to organize ... coordinate efforts), B (knowledge of case files ...), and E (knowledge of human personality ...) are critical knowledge areas for community-based counselors. It is reasonable to imply from this information that, given the importance of the constituent knowledges/skills for the job, training in these Knowledge Categories is a critical requirement.

(1) Amount of training. As shown in Table VIII-V-2, the incumbent counselors reported they did not have sufficient training for tasks #2, 8, and 11. Task 2 entails identifying and classifying client's skills, abilities and interests. This suggests apparent deficiencies in understanding and assessing human personality, aptitudes, interests, and motivations (Knowledge Categories E and C) and in how to organize data and assess their relevancy (Knowledge Category F).

	AC/ FT	FT	FT	AC	AC	FT/ OJT
		Know1	edge (Catego	ory	
Tasks	A	В	С	D	Е	F
1	11.	75	40	20	57	80
2	0	75	15	20	57	80
4	0	100	45	10	57	50
5	11	75	45	30	71	60
7	11	50	60	50	64	60
8	0	63	20	30	71	80
9	44	63	55	50	71	90
10	0	63	30	20	57	60
11	67	100	30	20	50	50
12	33	38	20	10	21	40
14	11	38	40	10	57	30
15	11	13	40	10	21	20
16	11	0	10	0	21	30
17	0	0	40	0	21	40
19	44	50	65	50	50	60
20	11	63	10	10	64	50
21	0	13	35	10	29	20
Average percent	16%	52%	35%	21%	49%	53%

		best lear	
	AC	FT	ОЈТ
.1		_	_
	21	46	29
	6	6	82
	ı		-
	17	21	49
	-	-	-
	14	35	39
	-	_	_
	42	21	33
	14	57	29
	30	0	60
	-	-	-
		-	_
	20	47	13
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	earned	· ·	earned FT OJT	FT OJT -	earned Training FT OJT - OK V V V V V V V V V V V V V V V V V V

AC = Academic

- = too little

FT = Formal Training

OK = about right

OJT = On-the-job Training +

+ = too much

Task 8 involves evaluating home and family environment for purposes of developing client treatment plans. This suggests possible deficiencies in how to conduct investigations to collect relevant case file information (Knowledge Category B) and how to organize and assess the information (Category F).

Task 11, since it involves preparing recommendations and dispositional plans on clients, again suggests possible deficiencies in how to collect and assess appropriate information (Knowledge Categories B and F).

(2) <u>Training settings</u>. The incumbent counselors, without exception, reported learning their tasks by OJT. Formal training and academic settings, however, were viewed as being important for learning some tasks. The most significant discrepancy between actual and optimal settings appears for learning tasks #2, 11, 12, and 17. These tasks generally require high expertise in Knowledge Category B and/or F skills and knowledges suggesting the following implications.

For Category B, knowledge of case files and information gathering can be learned more effectively in formal training than by OJT. Skills in investigative techniques, identifying significant categories of client information, and preparing case histories are all suited for systematic presentation in formal training.

For Category F, ability to organize data, interact with clients, and coordinate efforts can be learned efficiently in formal training as well as OJT. Some skills such as giving oral presentations, interview techniques, methods for interacting with clients and their families, and how to coordinate individual efforts with others can be learned quite effectively in formal training. On-the-job training to apply these various skills and techniques with actual clients in normal working conditions is necessary for refining skills to the point the counselor is effective and confident using them.

b. <u>Future Knowledge and Task Requirements</u>. Counselors in juvenile community-based facilities typically are college graduates, most often trained in counseling or a related social science field. For the most part, they tend to be knowledgeable about current counseling theory and prevailing

techniques and practices. A general lack cited frequently by incumbent counselors and juvenile corrections executives is that counselors are ill-prepared to deal with youth with serious adjustment and behavioral problems stemming from disruptive homes and backgrounds. Survey visits to various training academies and training departments moreover reveal that planned training for counselors is inconsistent or non-existent. During the next five years, counselors will clearly need more effective skills for dealing with youth in correctional settings.

The importance of counselors being able to relate to youth may even be more important than having an intellectual repertoire of counseling theories and approaches. One state has deliberately de-emphasized the significance of formal training for staff who work with youth in community-based facilities. Skills to react warmly to youth and the commitment to helping youth are considered in this state to be more important, suggesting that counselors ought to be prepared in interactive, as well as in intellective knowledges in the future.

Community-based programs will continue to increase--both in number of facilities and population served. Counselors particularly will require more and better skills to develop community resources and translate them into overall programs for youths. Training in this area currently is sporadic with little differentiation being made between the training received by counselors in the institutions vs. community-based facilities.

Expected placement of increased numbers of youth in community-based programs suggests that counselors increasingly will be rquired to work with a wider range of social and emotional disorders. Added specialization will be required to tailor counselors skills and abilities to the specific needs and problems of clients.

								B									Α		667 - IIIΛ _ξ
8.investigative techniques	7. preparation of case history	6. past criminal activity	5.medical, social, educational history	4.attitude	3.economic status	2.behavior patterns	1.family history	Knowledge of case files and information gathering	procedures	ertaining to probation and pa		5. Interrelationship of the components of the system	WE	3.philosophy goals and objectives of parole or probation agency	2. functions of the corrections institution	1. role of the court in the administration of justice	Knowledge of the judicial and correctional systems	Knowledges	Juvenile Community-based Counselor 4 = expert knowledge level 3 = high knowledge level 2 = moderate knowledge level 1 = slight knowledge level
3	ы	3 5	3.5	w	2.5	3.5	3.5		2.5	1.5	w	2.5	2	1	2	2		1.	Investigates and verifies by phone, correspondence, interview and observation, client's background and progress related to program expectations.
w	2	ω	3.5	3.5	2.5	w	ω		1.5	н	2	۲.				Н		2.	Interviews client to identify and classify client's skills, abilities and interests.
3	w	w	3.5	w	w	3.5	ω		1.5	Н	2	F	2	۲	ш	2		4.	Establishes and maintains case record to evaluate client's progress and needs.
3	Н	w	ω	w	2	w	w	•	1.5	2.5	2.5	w	2.5	1	1.5	2		5.	Receives information about client's behavior and takes appropriate actions.
2	1,5	2.5	w	3	1.5	ω	ω		H	2	2	ω	2	2.3	1	ш		7.	Negotiates, develops, and modifies individual treatment plan with the client and assists client in implementing plan.
3	2.5	2.5	w	2.5	3	3.5	3.5		2	1	2	۳	-	μ	1	2		8.	Evaluates home and family environment in order to develop treatment plan.
2	2	u	3	3	2	ω	w		ω	3.5	2.5	3	2.5	2	1.5	w		9.	Advises and counsels clients, individually or in groups, concerning employment, education, community services, and management of personal affairs to establish realistic and socially acceptable behavior patterns.
3	2	2.5	ω	ω	2	w	ω		2	1.5	2	2.5	1.5		1	1.5		10.	Advises and counsels client's family, substitute parents, about problems in dealing with client.
3	w	ယ	w	3	2	w	ω		w	W	3.5	3 5	2.5	ω	2	3.9		11.	Prepares recommendations, reports and dispositional plans on clients for Court staff.
1,5	1		2.5	3	-	w	డు		w	2.5	1.5		1.5	2	2	ω		12.	Testifies at judicial and/or administrative proceedings, to client's progress.
•	2.5	2	ω	3	2	w	1.5		2	1.5	_	w.	-	1	_	-		14.	Establishes and develops contact with employers of clients and school personnel.
2.5	ю	2.5	2	ω	.	2.5	2	·.	2	1.5	-	w	_	1	1.5	2		15.	Contacts and consults with community agencies, in- dividuals and commercial firms to establish re- sources for client treatment and assistance.
1.5		1.5	ш	1	1.5	2	L		2	2	2	w	2	2	2.5	2.5	•	16.	Promotes and explains community-based programs and philosophies to improve public understanding and support of programs.
1.5	2	2	2	2	5	2	1.5			1.5	2	2	5	H		2		17.	Coordinates the involvement of community citizenry in program activities (e.g., tutors, big brothers).
.5	2.5	2	3.5		5	ა 5	ω		2.8	2.5	5	5	w	2.5	2	ა. 5		19.	Coordinates information and plans concerning cli- ents among law enforcement/criminal justice agen- cies, client's family, community agencies.
	5	w	5	5	5	ω 	ω		2	2		5	5	2	2	2.5		20.	Screen and evaluate diagnostic and other materials for purposes of determining intake.
2			w	2.5	2	2.5	-		2	2		2.5		2		1.5		21.	Coordinates provision of services to meet basic needs (medical, psychological, recreation).

Tasks		

						-		Tasks									<u> </u>
Juvenile Community-based Counselor VIII 1 500	Investigates and verifies by phone, correspondence, interview and observation, client's background and progress related to program expectations.	Interviews client to identify and classify client's skills, abilities and interests.	Establishes and maintains case record to evaluate client's progress and needs.	Receives information about client's behavior and takes appropriate actions.	Negotiates, develops, and modifies individual treatment plan with the client and assists client in implementing plan.	Evaluates home and family environment in order to develop treatment plan.	als clients, individually or in gemployment, education, community agement of personal affairs to ic and socially acceptable be-	Advises and counsels client's family, substitute granents, about problems in dealing with client.	Prepares recommendations, reports and dispositional plans on clients for Court staff.	Testifles at judicial and/or administrative pro- ceedings, to client's progress.	Establishes and develops contact with employers of clients and school personnel.	Contacts and consults with community agencies, individuals and commercial firms to establish resources for client treatment and assistance.	Promotes and explains community-based programs and philosophies to improve public understanding and support of programs.	Coordinates the involvement of community citizenty in program activities (e.g., tutors, big brothers).	Coordinates information and plans concerning clients among law enforcement/criminal justice agencies, client's family, community agencies.	Screen and evaluate diagnostic and other materials for purposes of determining intake.	provision of ser al, psychologica
Vassladasa	1. In the	2. In	4. Es	S. Re	7. Ne tr	8. Ev	9. Ad gr			.	7		1.0	1 . 1		ł	
Knowledges								10	11.	12	14.	15.	16.	17	19.	20.	27.
C. Knowledge of planning, managing and administering a counseling program 1.role of home, school, work, agency in youth's	3.5	3	3.5	3	3	3.9	3.5	3	3.5	3	3.5	3.5	2.5	3	3.5	3	2
adjustment 2.use of volunteers and community resources	1.5																
3.coordinating client and employer interests		1	3	2.5	3	1.5	3	2	2.5		2.5	3.5	3	3.8	3	2	3.5
4.development and assessment of individual	2	2	<u> </u>	3	3	 	3	1	2.5	-	3.5	3.5	2	3	3.5	1	3
treatment plans	3	3	3.5	3	3	3.5	3	3	3	3	3	2	1	3	3.5	2	3
5.capabilities and limitations of local social						[
service agencies 6.evaluation of client progress and adjustment	3	1 2 5	2	3	2.5 3.5	1	3	3	2.3	3.5	3	2.5	2.5	2.5	3.5	2.5	2.5
7.principles, purposes and benefits of training	 	2.5	3.5			2.5										<u> </u>	
and education for offenders 8.community resource development	3	2.5	2.5	3.5	3	2	3 2	1.5	2	2	3.5	3.8	2.5	2.5	2.5	2.5	$\frac{1}{1}$
9.reports and correspondence writing	72 5	لبحسنا	3.5			 	ļ	1	3.5	1	2	2	1	1	3.5	 , -	2
10.supervision and management techniques	2.5	2	1	+4	2.9	1	2.9	╁╧╾╴	3.3		1	1	1	3	2.5	-	3
11.systems for maintaining forms, records and files	2	2	3.5	12	2.5		1	1	2.5	2	2	2	- /-	2.5		-	+-
12. sources and methods for eliciting information	+ -	2.5		3	3	3	3	2.5			2	3	1.5	2.5	3	1,5	12
13.facility's work and treatment opportunities	2		1.5			1	2		1.5		2,5	1.5	ī	1	2.	2.5	1
14.identification of individual client needs, abilities, interests	3.5	3.9		3.5	3.5	3	3	3	3.5		3.5	3	2.5	3.5	3.5	3	3
15.institution's administrative procedures	1.5	1	1	1	1.5			1	1		1			1	1	1	
16.referral procedures	3	2	$\dagger \bar{1}$	13		-		3	2.5			3	2	3	3.5	2.5	4

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Projection of the state of the	9. street terminology		7.medical terminology	6.alcoholism and drug addiction	neuroses, p	4.aptitudes, interests and motivations	3.group dynamics	2.causes of abnormal behavior	1.personality development	E. Knowledge of:	10. youth observation, evaluation and assessment	9.client work supervision	8. orientation to program	7.community assistance facilities and programs	6.financial, personal and family management for clients	and group counseling	4.crisis intervention	standardized and individual diagnostic testing	2.literature on modern counseling procedures	1.ability to communicate with youth	D. Knowledge of theories, principles and techniques of individual and group counseling	Knowledges	Juvenile Community-based Counselor
	υ u	2	ω			2.5		3.5	ω G		3.5	2	2	2	Н	2		2	1.5	ω		1.	Investigates and verifies by phone, correspondence, interview and observation, client's background and progress related to program expectations.
-	3 W	2,5	1	2.5	2.5	3.5	-	ω	υ 5		3.5	2	2	1	۳	2.5		2	1	ω		2.	Interviews client to identify and classify client's skills, abilities and interests.
1		2,5	З	3	2.5	w	2 5	w	3.5		ω	2	2		2.5	2		2.5	2	1		4.	Establishes and maintains case record to evaluate client's progress and needs.
1	ပ ယ	2.5	2.5	3	3	w	در	2.5	υ 5		3.9		1	3	2.	2	2.5	2.5	2.5	ω		5.	Receives information about client's behavior and takes appropriate actions.
٠ ١	ıω	2	2	3	2	ω	ر د	2	ω		ω	_	2	ω	2.5	ω	2.5	1	2	3.5		7.	Negotiates, develops, and modifies individual treatment plan with the client and assists client in implementing plan.
	3 W	2.5	1	3	3		بد م	3.5	υ 5		w	-	1	2	ω U	w		1	2	2		8.	Evaluates home and family environment in order to develop treatment plan.
	3,5	3	-	2.5	3		بر 0	ω	ω		3.5		1	3	w	3.9	3		2	3,9		9.	Advises and counsels clients, individually or in groups, concerning employment, education, community services, and management of personal affairs to establish realistic and socially acceptable behavior patterns.
1	2 2	2.5	2	2.5	2.5	w	د	w	w		2.5		1	W	2.5	ω	2.5		2	2		10.	Advises and counsels client's family, substitute parents, about problems in dealing with client.
	13 p=4	2		2.5		ω	ر د	ω	ω		3,5	_ 1		2.5	ω	2		1.5	1	2		11.	Prepares recommendations, reports and dispositional plans on clients for Court staff.
1	4 1	1	1.5		2	ω		2.5	•		w		1	2.5	2,5	1	- 6	2.5	2	۳		12.	Testifies at judicial and/or administrative proceedings, to client's progress.
ľ	1,5	2	2	w	2	•	ر د	w	ω		w	2.5	1	2	2.5	2	1	2	1	1,5		14.	Establishes and develops contact with employers of clients and school personnel.
	7.5	F	2	2.5	1	2.5	5	2	2,5		2.5	1	1	3,5	N	2	2.5	1	1	1,5		15.	Contacts and consults with community agencies, individuals and commercial firms to establish resources for client treatment and assistance.
	1	H	1	1	1	1.5	u	1.5	Ν		1.5	-		2.5	1.5		1.5	1	1	1		16.	Promotes and explains community-based programs and philosophies to improve public understanding and support of programs.
	2.5		1	1.5	1.5	ω	2.5	2	2.5		2	1	1	2.5	2.5	2.5	2.5	1.5	2,5	2		17.	Coordinates the involvement of community citizenry in program activities (e.g., tutors, big brothers).
	1) N	2	ن	2,5		3.5		ω	w		ω	2	1	w	ယ	u		3	2	P		19.	Coordinates information and plans concerning clients among law enforcement/criminal justice agencies, client's family, community agencies.
	1.5	2.5	3.5	ب د	ن. 5	بن ح	۵	u	3 5		2	2	1	2	ш	2		3.5	2	1		20.	Screen and evaluate diagnostic and other materials for purposes of determining intake.
	2)		1.5		1	2.5	ه ا	1	N		ω		1.5	3.8	۲۰ د د	2.5	2.5	1	1	2.5		21.	Coordinates provision of services to meet basic needs (medical, psychological, recreation).

Tasks

	DO 1	sues		7.assess relevancy of information	6-handle interviewees reluctant to talk	5.instill confidence with client and family	4.establish rapport with client	3. grasp feelings of interviewee	2.detect discrepancies in information	l.organize factual data	F. Ability to:	14.ethnic customs and mores	13. public relations	12.basic communication skills	11.problem analysis and definitive procedures	Knowledges	TASK-KNOWLEDGE WATRIX Juvenile Community-based Counselor OSA OSA OSA OSA OSA OSA OSA OS
	3.5	ω	2.5	3.5	3	2.5	3.5	w	3.5	3,5		2	3	ω	3	1.	Investigates and verifies by phone, correspondence, interview and observation, client's background and progress related to program expectations.
Ī	w	×	. 1	3.5	ω		3.5	3.5	w	3		u	1	3.5	ω ·	2.	Interviews client to identify and classify client's skills, abilities and interests.
ł		3.5	ω	3 5	1	1	1	2	ω 5	3.5		w		2.5	3	4.	Establishes and maintains case record to evaluate client's progress and needs.
-	-+	ωļ	ω	3.5	ω	2.5	u	2.5	w	2.5		ω	2	-	3.5	5.	Receives information about client's behavior
		ω ω		3.5	3		w	2.5	ω	ω		3.5	1.5	3.5	3.	7.	and takes appropriate actions. Negotiates, develops, and modifies individual treatment plan with the client and assists client in implementing plan.
	w	w	w	3.5	3.5	3.5	2.5	3.5	w	2.5	············	3.5	2	3.5	3	8.	Evaluates home and family environment in order to develop treatment plan.
		3.5			υ.	3.	3.8	3.5	ω	2.5		3.6	1.5	3.9	u	9.	Advises and counsels clients, individually or in groups, concerning employment, education, community services, and management of personal affairs to establish realistic and socially acceptable behavior patterns.
		w	w	w	w	3.8		w	2.5	2		3.5	1.5			10.	Advises and counsels client's family, substitute parents, about problems in dealing with client.
	3		2.5		F	1	1	1	3.5	3.5	•	2	2.5	3	3.5	11.	Prepares recommendations, reports and dispositional plans on clients for Court staff.
	3	w	=	u		1	1	ľ	2.5	3.5		۲	2.5	3	2.5	12.	Testifies at judicial and/or administrative proceedings, to client's progress.
	3	3	3.5	2	2	1	-	2	1.5	2.5		2	3.9	3.8	ω	14.	Establishes and develops contact with employers of clients and school personnel.
	3	2	3.5	2	2.5	1	بر	2.5	-	2.5			3.9	3.8		15.	Contacts and consults with community agencies, in- dividuals and commercial firms to establish re- sources for client treatment and assistance.
	ω (5	3	2.5	2	1	1	_		2.5	2.5		2	3.5	ω	2.5	16.	Promotes and explains community-based programs and philosophies to improve public understanding and support of programs.
	w	w	3.5	2	1	2	2	2.5	-5	ω		2.5		З	ω	17.	Coordinates the involvement of community citizenry in program activities (e.g., tutors, big brothers).
		3.5		3.5					3.5	3.5		2	w		3.5	19.	Coordinates information and plans concerning cli- ents among law enforcement/criminal justice agen- cies, client's family, community agencies.
		ω	w	3.5					ı	ω		2		1.5	3	20.	Screen and evaluate diagnostic and other materials for purposes of determining intake.
	15	۳	w	2	2	2.5		2	-	2		w	2	W	ω	21.	Coordinates provision of services to meet basic needs (medical, psychological, recreation).



2. Juvenile Institution Counselor/Caseworker

The major portion of the occupational analysis data was collected on Task Checklists from 24 counselor/caseworkers working in juvenile institutions in nine states. While some jurisdictions made distinctions between caseworker and counselor roles, most did not. Consequently, for purposes here they are considered as one category and will be referred to as counselors. The median age of these counselors was 28 years, 67 percent of whom were male. Seventy-five percent were white, 21 percent black, and 4 percent were other ethnic. The median level of formal education attained by these counselors was college graduate plus some graduate course work and they had 2.8 years median experience in corrections.

a. <u>Task and Knowledge Requirements</u>. The job of institution counselor as it is now constituted can be described in terms of 14 tasks and 74 specific knowledges and skills required to perform these tasks. Not all knowledges or skills are needed to perform all tasks and different tasks require different levels of knowledge/skill expertise.

The relationship between specific knowledges/skills and specific tasks is summarized in the Task-Knowledge matrix at the end of this analysis. The cell entries of the matrix suggest the level of proficiency needed to effectively perform the tasks.

As presented in the matrix, the 14 essential tasks performed by counselors working in juvenile training schools and detention centers are:

- 2. Interviews youths and administers tests to identify and classify client's skills, abilities and interests.
- 3. Establishes periodic verbal or personal contact schedule with youth and interviews youth on conformance to conditions of residency.
- 4. Establishes and posts case file and evaluates information to determine youth's progress and needs.
- 6. Recommends modification of correctional program in view of youth's needs and progress.
- 7. Assists in developing individual treatment program for corrections client and assists in implementing program.
- 9. Advises and counsels clients, individually or in groups, concerning management of personal affairs to establish realistic and socially acceptable behavior problems.
- 11. Prepares recommendations, reports and dispositional plans on clients for Parole Board.
- 12. Testifies at judicial proceedings, Parole Boards or committees as expert witness to evaluate client progress, and assist in decision making,
- 14. Helps establish and develop contact with potential employers of youth.
- 15. Contacts and consults with community agencies, individuals and commercial firms to evaluate and establish resources for youth's treatment and assistance.
- 16. Promotes and explains correctional programs to improve public understanding and support of programs.
- 17. Coordinates use of citizen volunteers in correctional activities.
- 18. Attends meetings, hearings and legal proceedings to gather and exchange information.
- 20. Responsible for establishing a position relationship with youth and functions as an advocate for youth.

The most critical tasks in terms of both the percent of institutional counselors reporting that they perform them and the relative amount of time

^{*}Task numbers correspond to the numbers that identify tasks on the Task-Knowledge matrix. During field work and analysis activities, some tasks from original lists have been deleted or combined, which accounts for missing numbers above.

typically devoted to them are #3, 4, 6, 7, 9, 11, and 20. These tasks represent direct interaction with institutional residents and involve activities relating specifically to counseling programs, obvious reasons for being rated critical by incumbent counselors. In contrast, tasks. #2, 16, and 17 are less typically performed and less critical for a counselor, largely because they are either a function of special job assignments or are performed on a volunteer basis.

The 74 specific different knowledges and skills presented in the Task-Knowledge matrix are classified under six broad Knowledge Categories. The categories and the number of specific knowledges/skills subsumed under each are:

Knowledge Category

- A. Knowledge of judicial and correctional systems (10 knowledge/skills)
- B. Knowledge of case files and information gathering (8 knowledge/skills)
- C. Knowledge of planning, managing and administering a counseling program (20 knowledge/skills)
- D. Knowledge of theories, principles and techniques of individual and group counseling (10 knowledge/skills)
- E. Knowledge of human personality, dynamics, handicaps, communication and specialized terminology (16 knowledge/skills)
- F. Ability to organize data, interact with residents and coordinate efforts (10 knowledge/skills)
- b. <u>Training and Education Implications</u>. While the Task-Knowledge matrix describes current job requirements, it does not indicate whether incumbent institutional counselors have received the appropriate training or education or whether their training and/or education was received in the optimal learning setting. Part of the occupational analysis effort generated data relative to these issues.

Three occupational analysis sources provide data for assessing training and education (T&E) implications, (1) the Task-Knowledge matrix, (2) Task Checklist summaries which indicate incumbent responses about where they learned how to do specific tasks (i.e., in academic, formal training, or OJT settings) and whether the training received was too little, about right, or too much, and (3) summaries from an equivalent set of incumbents as to where the tasks could best be learned.

Table VIII-V-3 on the next page summarizes the essential information from these three sources for assessing T&E implications. The left portion indicates the percent of specific skills in each Knowledge Category (i.e., A, B, ... F) that is required at a high level of proficiency to perform each relevant task. The middle portion shows the percent of incumbents who indicated where the task can best be learned. The right portion indicates where the majority of incumbents actually learned to perform the task and whether the amount of training was sufficient.

c. <u>Job Training/Education Requirements</u>. The left portion of Table VIII-V-3 describes the training/education requirements for counselors, both in terms of general content and where training could best be administered. The column averages relate to content in that they indicate the percent of specific knowledges and skills of each Knowledge Category that must be acquired at a high level for a counselor to perform effectively. The column averages in addition suggest the relative critical significance of the various Knowledge Categories. Above each Knowledge Category letter is indicated where the specific knowledges/skills can be learned as determined by independent ratings of five occupational specialists. For example, the knowledges/skills of Category B can best be learned in formal training settings, Category D in academic

Table VIII-V-3
Occupational Summary Data for Juvenile Institution Counselor/Caseworker

		AC/ FT	FT	FT	AC	AC	FT/ OJT			bes o le	t way arn		Where a	ctually	learned	 	Amour	t of tr	aining
			Kn	owledg	e Cate	gory	,									-			1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1
Tas	ks	A	В	С	D	E	F		AC	FT	OJT	•	, AC	FT	OJT		<u> </u>	ок	+
	2	50	100	45	60	31	50		21	46	29			~	~		1		
	3	40	_	10	20	6	20											/	
	4	40	88	45	10	6	30	 1	6	6	82			V				/	
	6	40	88	45	20	19	70	-	6	6	82				/			✓	
	7	30	0	10	0	6	30		17	21	49				/			/	
	9	50	88	60	70	75	70		14	35	39				/			~	
1	1	30	75	35	10	19	40		42	21	33				/			~	
1	.2	40	88	35	0	63	20		14	57	29							/	
1	4	20	50	30	0	13	20		30	0	60				/			V	- 1940 -
· 1	.5	20	88	50	0	81	60								1			/	
1	.6	80	0	0	0	6	0								V			/	
1	.7	30	0	10	10	13	20		20	47	13				1			/	
1	.8	30	75	35	0	13	60		22	15	50								
*2	20	40	100	25	10	75	70												
Avera Perce	-	39%	53%	31%	22%	30%	40%												

*added by experts, no field data available

AC = Academic

Percent

FT = Formal Training

OJT = On-the-job training

- = too little

OK = about right

+ = too much

settings, Category A in some combination of foraml and academic training and so forth. By implication, optimal preparation and training of institution counselors should comprise academic, formal, and on-the-job training, depending upon the specific knowledge and skill being learned.

The data in Table VIII-V-3 suggest that the most critical knowledge area is Knowledge Category B (knowledge of case files and information gathering), since 53% of its specific knowledge/skills need to be known at a high level of expertise. This too suggests a critical training requirement for counselors. Likewise, Knowledge Categories F (ability to organize data, interact with residents ...) and A (knowledge of judicial and correctional systems) would appear to represent important areas for training.

- (1) Amount of training. Table VIII-V-3 shows that, overall, incumbents feel that they have received about the right amount of training for performing tasks. Only with respect to task #2 did they feel they were not sufficiently trained. Since Knowledge Category.B is the most critical area for performing this task (100% of the specific knowledge/skills are needed at high proficiency), the data suggest that additional training for counselors may be needed in such areas as investigative techniques, preparation of case histories, and significant information to collect on residents. Following the same criteria, additional or more pertinent training in Knowledge Category D may also be in order, to include crisis intervention, sources of community assistance, individual and group counseling procedures, and methods of observing and assessing resident progress.
- (2) <u>Training settings</u>. Table VIII-V-3 clearly indicates that incumbent counselors have learned how to perform their specific tasks primarily by on-the-job training. However, in terms of where incumbents think the tasks

could best be learned, academic or formal settings are important. It would appear that there may be discrepancies between actual and optimal training for institution counselors.

On the basis of the occupational data and our considered judgment, the most critical discrepancies seem to be about how and where tasks #9, 11, and 12 are learned. These tasks are seen by incumbents as best learned in formal or academic training. Since these tasks generally involve expert levels of knowledges in Categories B, C, and E, the following training implications are suggested:

For Category B, knowledges and skills relating to case files management and related information gathering can better be taught in formal training rather than by OJT. This would include training on how to gather and record information pertaining to family history, behavior patterns, past criminal history and how to prepare case histories.

For Category C, specific knowledges relating to planning, managing, and administering counseling programs could best be learned in formal training rather than OJT. This training would include, for example, how to construct client histories, conduct evaluations of client progress and adjustment, identify and develop community resources, and how the institution works and treatment opportunities available.

For Category E, specific knowledges relating to personality development, physical, emotional, and mental handicaps, group dynamics, ethnic customs and mores, and abnormal behavior are best taught and learned in academic settings and college-type courses rather than by OJT.

d. <u>Future Task and Knowledge Requirements</u>. The indicators generated during the National Manpower Survey by occupational analysis procedures, interviews with juvenile corrections executives, various department directors and training staffs, and expert inputs all suggest that there will be no revolutionary changes in either task or knowledge requirements for institution counselors during the next five years. The changes in future requirements will tend

to be evolutionary in nature, reflecting continuation of present trends and renewed emphasis on existing issues.

It would seem likely that counselors in juvenile institutions will devote increasing amounts of time and efforts on professional counseling activities, either in one-to-one, small, or large group settings. Some related but peripheral activities (e.g., posting case files, testing) will be the responsibility of other, less professionally qualified staff members or incumbents in specialized assignments.

Although research findings have consistently failed to demonstrate positive impact of counseling interventions, continued attention will be directed toward identifying and applying techniques that will make a positive difference. In addition, the fact that institutions will increasingly serve more difficult residents raises the need for more formal, corrections-oriented counseling techniques, procedures, and knowledges. Evidence from juvenile corrections executives and training specialists suggests that increased and more sophisticated training in crisis intervention, family therapy, human behavior and personality, effects of institutionalization, human relations, and so forth will be apparent during the next five years.

Understanding of the laws governing juvenile institutionalization and "due process" will continue to grow in significance in the future. Counselors in general will spend more of their time and effort to testify at judicial proceedings because of the ever increasing number of court actions involving residents in juvenile institutions.

Counselors will need to understand better the potential of volunteer groups/individuals and various human services agencies and organizations for

supplementing and extending their services. Planning, rationalizing, and organizing these resources to develop more effective helping programs and alternatives will become a more important requirement and more prevalent.

an advocate for youth

7.capabilities and limitations of local social service agencies	<pre>6.development and assessment of individual parole/probation plans</pre>		4.use of volunteers and community resources in probation and parole	3.visits to home, school, work, agency	2.patterns of behavior	1.client history	C. Knowledge of planning, managing and administering a counseling program	8.investigative techniques	7.preparation of case history	6.past criminal activity	5.medical, social, educational history	4.attitude	3.economic status	2.behavior patterns	1.family history	B. Knowledge of case files and information	Juvenile Institution Counselor Knowledges	•
					3.5	3		4	4	4	4	4	4	4	4		2. Interviews youths and administers tests to identify and classify client's skills, abilities and interests	
-					~					-						•	3. Establishes periodic verbal or personal contact schedule with youth/interviews youth on conformance to conditions of residency	-
2.5	IJ				3.5	ω			3.5	3.5	3.5	3.5	3.5	3.5	3.5		 Establishes and posts case file and evalu- ates information to determine progress and needs 	
	3				3.5	3.5			3.5	3.5	3.5	3.5	3.5	3.5	3.5		6. Recommends modification of correctional program in view of youth's needs and progress	
																	7. Assists in developing individual treatment program for corrections client and assists in implementing program	
					3.5	w			3.5	3.5	3.5	3.5	3.5	3.5	3.5	: : : : : : : : : : : : : : : : : : :	 Advises and counsels clients, individually or in groups, concerning management of personal affairs to establish realistic and socially acceptable behavior patterns 	
2.5	3.5				ω	w			ω	ω	ω	ω		з	ω		11. Prepares recommendations, reports and dispositional plans on clients for Parole Board	
					w	ω	· · ·		w	ω	u	w	ω	w	w		12. Testifies at judicial proceedings, parole boards or committees as expert witness to evaluate client progress, and assist in decision making	
		w	w		w	ω				w	w	ω		ω		 	14. Helps establish and develop contact with potential employers of youth	1
ω		u	3.5	2	w	u			w	w	ω	ü	W	ω	ω		15. Contacts/consults with community agencies, individuals and commercial firms to evaluate and establish resources for youth treatment and assistance	
																	16. Promotes and explains correctional programs to improve public understanding and support of programs	
			3.5									_	_	L			17. Coordinates use of citizen volunteers in correctional activities	
		<u> </u>			∂W.	ψ.		L	ω —	ω —	3	u	υ,	w			18. Attends meetings, hearings and legal pro- ceedings to gather and exchange information	
					u	w		u	w	w	ω	W	w	ω	u		 Responsible for establishing a positive relationship with youth and functions as an advocate for youth 	

Tasks

20. referral procedures	19.institution's administrative procedures	18.identification of individual client needs, abilities, interests	17.hearing and Board procedures	16.institution's work and treatment opportunities	15.sources and methods for eliciting information	14.requirements for revocation of probation or parole		12. supervision and management techniques	11.reports and correspondence writing	10.community resource development	<pre>9.principles, purposes and benefits of train- ing and education for offenders</pre>	8.evaluation of client progress and adjustment			Knowledges	TASK-KNOWLEDGE MATRIX venile Institution Counselor
	u	4	3.5	3.5	4				3.5		ω		-			 Interviews youths and administers tests to identify and classify client's skills, abilities and interests
							2		ω			ω	•			Establishes periodic verbal or personal contact schedule with youth/interviews yout on conformance to conditions of residency
	11	3.5		ω			3.5		w		3.2	4				 Establishes and posts case file and evalu- ates information to determine progress and needs
	ω ·	3.5		ω			2		w		3.2	4				 Recommends modification of correctional program in view of youth's needs and progress
	u			ω										·		 Assists in developing individual treatment program for corrections client and assists in implementing program
3	3.5	3.5	ω	w		ω	ω	·	သ		2	3.5				 Advises and counsels clients, individually or in groups, concerning management of personal affairs to establish realistic and socially acceptable behavior patterns
		3.5	3.5				W		3.5			3.5				 Prepares recommendations, reports and dispositional plans on clients for Parole Board
	3	3.5	ω	w		2.5						u				12. Testifies at judicial proceedings, parole boards or committees as expert witness to evaluate client progress, and assist in decision making
w		3							ω							 Helps establish and develop contact with potential employers of youth
3	ω	3			w					3.5						15. Contacts/consults with community agencies, individuals and commercial firms to evaluate and establish resources for youth treatment and assistance
																16. Promotes and explains correctional programs to improve public understanding and support of programs
			× 1							3.5	Si					17. Coordinates use of citizen volunteers in correctional activities
3	ω	ω							ω			Ü				 Attends meetings, hearings and legal pro- ceedings to gather and exchange information
	W	3.5					,					3.5				 Responsible for establishing a positive relationship with youth and functions as an advocate for youth

										Þ		•	SIS	- IIIA ي
10.inmate observation, evhuation and assessment	9.client work supervision	8.orientation of inmates	7.community assistance facilities and programs	<pre>6.financial, personal and family planning and management for clients</pre>	5.individual and group counseling procedures	4.crisis intervention	3.standardized and individual diagnostic testing	2.literature on modern counseling procedures	lability to communicate with youth	 Knowledge of theories, principles and tech- niques of individual and group counseling 			Knowledges	TASK-KNOWLEDGE MATRIX Juvenile Institution Counselor
4	3	ω			2.5		4	3	3.3				2.	Interviews youths and administers tests to identify and classify client's skills, abilities and interests
3									3.5				3.	Establishes periodic verbal or personal contact schedule with youth/interviews youth on conformance to conditions of residency
									3.3				4.	Establishes and posts case file and evaluates information to determine progress and needs
3.5									3.3				6.	Recommends modification of correctional program in view of youth's needs and progress
													7.	Assists in developing individual treatment program for corrections client and assists in implementing program
3.5	3	3		3	3	ω		2	3.5				9.	Advises and counsels clients, individually or in groups, concerning management of personal affairs to establish realistic and socially acceptable behavior patterns
			ß										11.	Prepares recommendations, reports and dispositional plans on clients for Parole Board
												:	12.	Testifies at judicial proceedings, parole boards or committees as expert witness to evaluate client progress, and assist in decision making
													14.	Helps establish and develop contact with potential employers of youth
										Ÿ			15.	Contacts/consults with community agencies, individuals and commercial firms to evaluate and establish resources for youth treatment and assistance
													16.	Promotes and explains correctional programs to improve public understanding and support of programs
			IJ								······································		17.	Coordinates use of citizen volunteers in correctional activities
													18.	Attends meetings, hearings and legal proceedings to gather and exchange information
									3.5				20.	Responsible for establishing a positive relationship with youth and functions as an advogate for youth

								*		•									1			in di Suluku da Janata in Ingani maka Lebah Tanta nga sake da paneen jeu di kaneya kaya keke. Tanta	
		14.public relations	13.basic communication skills	12.casework principles and procedures	11.problem analysis and definitive procedures	10.physical, emotional, mental handicaps	9.street terminology	8.gang behavior	7.medical terminology	6.alcoholism and drug addiction	5.defenses, neuroses, phycoses	4.aptitudes, interests and motivations	3.group dynamics	2. causes of abnormal behavior	1.personality development	E. Knowledge of:				Cr Knowledges		TASK-KNOWLEDGE MATRIX Juvenile Institution Counselor H	
1	2		3.5			ω	2.5	2.5		•		4		ω	ω		-	 			2.	. Interviews youths and administers tests to identify and classify client's skills, abilities and interests	
	1		3.5				2.5									-		 			3.	Establishes periodic verbal or personal contact schedule with youth/interviews youth on conformance to conditions of residency	
			3.5															 	1		4.	Establishes and posts case file and evaluates information to determine progress and needs	
1	2.5		3.5	3.5		2.5	2.5	2.5	2.5	2.5	2.5	2.5	2.5	2	ω				1		6.	Recommends modification of correctional program in view of youth's needs and progress	
			3.5																1		7.	Assists in developing individual treatment program for corrections client and assists in implementing program	
	ω		3.5	3		ω	ω	w	ω	w	ω	ω	3.5	2	ω		•				9.	Advises and counsels clients, individually or in groups, concerning management of personal affairs to establish realistic and	
1			3.5													Marie de la companya de la companya de la companya de la companya de la companya de la companya de la companya		 	1	1	L1		10070
	2		3.5	ω		ω	ω	ω	2	w	w	ω	w	ω	w					1	L2.	. Testifies at judicial proceedings, parole boards or committees as expert witness to evaluate client progress, and assist in	
		-	3.5									W							1]	14.	decision making Helps establish and develop contact with potential employers of youth	
	ယ	ω	3.5			w	w	ü	u	ω	ω	ω	w	ω	w					1	L5.	. Contacts/consults with community agencies, individuals and commercial firms to evaluate and establish resources for youth treatment and assistance	
		3.5															•	 		1	16	Promotes and explains correctional programs to improve public understanding and support of programs	
1	7	3.5	3.5																1	1	17.	. Coordinates use of citizen volunteers in correctional activities	
1	1		3.5	w															1]	L8	Attends meetings, hearings and legal pro- ceedings to gather and exchange information	
	w		3.5	ω		ω	ω	, ω	u		w	ω	w	w	IJ					2	20	Responsible for establishing a positive relationship with youth and functions as an advocate for youth	

16. specific miscellaneous skills

Tasks

										15 1			L	LS I	_	711V
10.give oral presentations	9.clarify issues	8.coordinate individual efforts with others	7.assess relevancy of information	6.handle interviewees reluctant to talk	5.instill confidence with client and family	4.establish rapport with client	3.grasp feelings of interviewee	2.detect discrepancies in information	1.organize factual data	. Ability to:	•			Knowledges		TASK-KNOWLEDGE MATRIX
			4	w		3.2	ω		3	 -	•	· .	<u></u> .		2.	Interviews youths and administers tests to identify and classify client's skills, abilities and interests
				ω	27	3						•			3.	Establishes periodic verbal or personal contact schedule with youth/interviews youth on conformance to conditions of residency
			3					3.2	3						4.	Establishes and posts case file and evaluates information to determine progress and needs
	3	3	3	u		3.2		3.2	3						6.	Recommends modification of correctional program in view of youth's needs and progress
	3	3.5							3		:				7.	Assists in developing individual treatment program for corrections client and assists in implementing program
	3		3.5	3	3.2	3.5	ω		ω						9.	Advises and counsels clients, individually or in groups, concerning management of personal affairs to establish realistic and socially acceptable behavior patterns
	3		3					ω	3			-			11.	Prepares recommendations, reports and dispositional plans on clients for Parole Board
			3						ω						12.	Testifies at judicial proceedings, parole boards or committees as expert witness to evaluate client progress, and assist in decision making
		ω							w						14.	Helps establish and develop contact with potential employers of youth
3	3	3	3					3	3		•				15.	Contacts/consults with community agencies, individuals and commercial firms to evaluate and establish resources for youth treatment and assistance
															16.	Promotes and explains correctional programs to improve public understanding and support of programs
3.5		u				1			ŀ	-					17.	Coordinates use of citizen volunteers in correctional activities
3	3	3.5	IJ	2.				ω	ယ						18.	Attends meetings, hearings and legal proceedings to gather and exchange information
	3	3	ω	w	3.5	3.5	3.5								20.	Responsible for establishing a positive relationship with youth and functions as an advocate for youth

Task



3. Juvenile Institution Youth Service Worker (Houseparent)

Most of the data on which this occupational analysis is based were obtained from 53 Youth Service Workers (YSW) working in juvenile institutions in nine states. The YSWs had 4.8 median years of experience in corrections, their median educational level was between one to two years of college, and their median age was 31 years. About 71% were male, 28% female; of these, 65% were white, 29% black, and 6% were other ethnic groups.

a. <u>Task and Knowledge Requirements</u>. The YSW job can be defined as consisting of 20 tasks and 63 skills and knowledges that are needed for performing the tasks. Not all the knowledges and skills are required for all tasks and different tasks entail different levels of expertise in the knowledges/skills.

The relationship of the specific knowledges/skills to specific tasks is shown in the Task-Knowledge matrix at the end of this analysis. The values entered in the matrix cells, which were determined by incumbent YSWs and juvenile corrections experts, indicate the level of expertise required in specific skills and knowledges for YSWs to perform specific tasks. As an entity, the Task-Knowledge matrix presents an overall view of current task and knowledge requirements for YSWs.

The 20 basic tasks performed by YSWs are:

- 1. Accepts custody responsibility for adjudicated delinquent.
- 2. Observes and controls movement of youth in order to prevent disruptions or incidents and account for location and activities.
- 3. Monitors youth visitations in order to maintain security and safety of residents, visitors, and staff.
- 4. Intervenes in conflicts among youth in order to prevent incidents which could trigger major disturbances.
- 5. Supervises feeding of youth to assure that all youth are fed at designated times.
- 6. Searches youth living areas and other critical areas in order detect, collect, and preserve evidence of contraband material.
- 7. Conducts investigations of interpersonal incidents in order to gather facts and evidence for future analysis.
- 8. Screens incoming and outgoing youth mail and packages in order to efficiently process the mail and prevent transmittal of contraband.
- 9. Assigns tasks to youths and supervises performance on assignments.
- 10. Advises youth concerning personal, work, or adjustment problems in order to assist youth to resolve problems.
- 11. Escorts and/or drives youth between correctional institution and points outside in order to ensure prompt and safe delivery.
- 12. Talks/listens, discusses with youth and staff members, as a member of an Institutional Board in order to facilitate decisions concerning custody, discipline, treatment, and parole.
- 13. Makes oral or written recommendations and reports in order to provide inputs to decisions which will respond to youths' needs.
- 14. Responds to emergency situations in order to minimize adverse outcomes of events.
- 15. Maintains perimeter surveillance (patrols, television) of a correctional facility to prevent escapes and introduction of contraband into the facility.
- 16. Orients, answers questions from newly arrived youth in order to acquaint new residents with the conditions, rules, benefits, aids, etc., of the correctional environment.
- 17. Schedules/assigns/monitors assignments of youth service workers under his supervision in order to assure that designated areas are properly covered for safety/security of youth and institution.
- 18. Conducts formal and informal training for youth service workers in order to assist them to gain proficiency and to improve job performance.

- 19. Evaluates personnel and institution facilities in order to improve job performance, to increase safety and efficiency, and to make recommendations to superior.
- 20. Conducts and attends meetings for key personnel to disseminate and receive information, encourage input to decision-making, and provide overall guidelines and direction.

Tasks #17 - 20 typically are performed by supervisors, but since some aspects of them are often performed by YSWs they will be retained for discussion here. In terms of the percent of incumbent YSWs who reported performing them and the amount of time spent doing them, the most critical tasks for this job are #2, 4, 6, and 14, all of which represent custodial and order-keeping activities.

The 63 specific knowledges and skills listed in the Task-Knowledge matrix are classified under 10 broad Knowledge Categories as shown below.

Knowledge Category

- A. Knowledge of the principles and procedures of correctional institution operations (15 knowledges/skills).
- B. Knowledge of policies and procedures for youth transportation and movement (5 knowledges/skills).
- C. Knowledge of policies and procedures for handling emergencies (7 knowledges/skills).
- D. Knowledge of investigation and search procedures (7 knowledges/skills).
- E. Knowledge of policies and procedures for youth intake into facility (6 knowledges/skills).
- F. Knowledge of supervision of corrections personnel and activities (10 knowledges/skills).
- G. Knowledge of work and treatment programs (4 knowledges/skills).
- H. Knowledge of staff/youth interaction procedures (6 knowledges/skills).

- I. Knowledge of procedures for dealing with the public (1 knowledge/skill).
- J. Knowledge of general skills (2 knowledges/skills).
- b. Training and Education Implications. Two training areas of interest are whether the incumbent YSW has received appropriate training and whether training received was in the optimal setting. Three occupational analysis sources provide data for deriving implications regarding these T&E issues, (1) the Task-Knowledge matrix, (2) Task Checklist summaries indicating incumbents' responses on where they learned to perform tasks (i.e., in academic, formal training, or OJT settings) and whether training was too much, about right, or too little, and (3) summaries from an equivalent set of incumbents about where tasks could best be learned. This information is summarized in Table VIII-V-4 on the next page.

The left portion of Table VIII-V-4 describes YSW training/education requirements. Required training content is suggested by the column averages, which show the percent of specific knowledges/skills in each Knowledge Category needed at a high level of expertise. Where the specific knowledges and skills can be learned most effectively, as determined by independent ratings of five staff occupational specialists, is shown above the letter identifying each Knowledge Category (i.e., A, B, . . . J).

The most critical knowledge area suggested by Table VIII-V-4 data is

Knowledge Category H (knowledge of staff/youth interaction procedures), since

41% of its specific knowledges/skills need to be known at a high level of ex
pertise for performing the job. By the same criterion, Knowledge Categories A

(knowledge of . . . institution operations), G (knowledge of . . . programs),

and I (knowledge of . . . the public) are also critical YSW knowledge areas.

Table VIII-V-4
Occupational Summary Data for Juvenile Institution Youth Service Worker (Houseparent)

	FT	FT/ OJT	FT	FT	FT	FT	AC/ FT	AC/ FT	OJT	FT/ OJT			best 1ear	1		e actu learne	- 1			ount ainin	
				Know	1edge	Cate	gory							-							
Tasks	A	В	C	D	E	F	G	H	I	J		AC	FT	OJT	AC	FT	OJT		-	OK	+
1	17	40	38	0	25	30	0	14	100	0		7	27	53		~				~	
2	44	40	63	0	0	0	0	14	0	0		3	40	47			1			1	
3	44	40	63	0	0	0	0	14	100	0		0	50	40			1			~	
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20	67	100	88	100	63	90	67	86	100	33		_	-	-	1				V		
Average Percent	30%	29%	28%	19%	17%	17%	34%	41%	35%	10%	•			· · · · · · · · · · · · · · · · · · ·							

AC = Academic

FT = Formal Training

- = too little
OK = about right

OJT = On-the-job training

+ = too much

That there is a requirement for adequate training in these Knowledge Categories is a direct implication of the above information.

- (1) Amount of training. Incumbent YSWs reported that, in general, they had received about the right amount of training. The two exceptions reported (tasks #18 and 20) are both supervisory tasks which YSWs typically do not perform. It should be kept in mind that this does not necessarily mean YSWs received training under optimal conditions or that this training was effective.
- (2) Training settings. Youth service workers almost universally reported that they learned how to perform required tasks by on-the-job training. However, they also indicated formal training (and to a lesser extent, academic settings) as being more desirable for learning some tasks. The most pronounced discrepancy between actual and optimal settings is for learning tasks #7, 10, 12, and 13. Since these tasks, in turn, generally involve high expertise in Knowledge Category A and/or H skills and knowledges, the following implications for training are suggested:

For Category H, knowledge of staff/youth interaction procedures can be learned more efficiently in formal training and, perhaps, academic settings rather than by OJT. Specifically, skills on how to handle disturbed youth, to determine effect of staff actions on youth behavior, and to give complete instructions to youth can be learned effectively in formal training. Possibly, how to communicate in stress situations and understanding the important personal characteristics of humans could be taught efficiently either in academic or formal training settings.

For Category A, knowledge of the principles and procedures of correctional institution operations would be learned more effectively in formal training than by only OJT. Formal training almost certainly would be more appropriate for learning about observation and surveillance techniques, search procedures, institution rules and regulations, youth rights, and the purposes of disciplinary and board hearings.

c. <u>Future Task and Knowledge Requirements</u>. The current trend of diverting as many youth from juvenile institutions as possible and feasible, the increased use of halfway houses and community-based facilities, and the separation of status offenders from adjudicated delinquents, will result in smaller, but more difficult, institution populations. The YSW will continue to require, during the next five years, effective custodial skills represented in Knowledge Categories C, D, and H.

The importance of youth rights and the frequency of actions involving due process will increase from present high levels as the courts become even more involved in juvenile corrections procedures. The YSW will need more and better knowledge of correctional institution principles and procedures (Knowledge Category A).

While certain YSW responsibilities will be assumed increasingly by specialists (e.g., feeding youth, conducting investigations), the YSW will participate more and more in both disciplinary and treatment decisions. Institution staffs will be structured increasingly as teams composed of different specialists, necessitating as a consequence that the YSW be more knowledgeable about available programs and alternative treatment plans (Knowledge Category G), as well as how to communicate more effectively with youths and understand their personal motivating characteristics (Knowledge Category H).

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	5. youth	L COURT	1 cources of emergency assists	. required forms authorizing/controlling movement	Knowledge of policies and procedures transportation and movement	5.use of communication equipment	14. institution objectives	3. juvenile laws	2. general operations and schedule	ll.physical facilities	0.youth rights	9.institution's	8.general security procedures	7 facility, disciplinary and Board hearings	5. youth count and control	4. perimeter security	contraband	areas, maximum security areas	2. special procedures	1. observation and surveillance of youth	Knowledge of		ςζς - IIIΛ enlie
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Tasks

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1. Principles of the corporation	and evaluating information about	ld be made	4. report writing	3.mail and package inspections	preservation of evidence	ea searches	Knowledge of investigation and search procedures	6. Intervention techniques involving some force		4. use of first aid and emergency equipment	liability of staff	without physical intervention	ing trouble	Knowledge of policies and procedures for handling emergencies	Knowledges	TASK-KNOWLEDGE MATRIX Juvenile Institution Youth Service Worker
	<u>'</u>		2			2.7		w		w	2		w			Accepts custody responsibility for adjudicated delinquent.
								ω	w	ω	2	1	3,2		2.	Observes and controls movement of youth in order to prevent disruptions or incidents and account for location and activities.
			2			2.7		w	w	w		3.3	ω .		3.	Monitors youth visitations in order to maintain security and safety of residents, visitors, and staff.
-	2		2			ω		3.5	w	w	2		ω		4.	Intervenes in conflicts among youth in order to prevent
+	-	-	-			 		0.	-	-	-		w		5.	incidents which could trigger major disturbances. Supervises feeding of youth to assure that all youth are
+	-	2.5	2	_	3.5	3.5			-	_			-	·	6.	fed at designated times. Searches youth living areas and other critical areas in order to detect/collect/preserve evidence of contraband material.
-	2.5		2		2.4	4				\vdash					7.	Conducts investigations of interpersonal incidents in
t				4	1.5	3.5		-		-					8.	order to gather facts and evidence for future analysis. Screens incoming and outgoing youth mail/packages in order to efficiently process mail and prevent transmittal of
-					5	5		-							9.	contraband. Assigns tasks to youths and supervises performance on assignments.
					,										10.	Advises youth concerning personal, work, or adjustment
										ω					11.	problems in order to assist youth to resolve problems. Escorts and/or drives youth between correctional institution and points outside in order to ensure prompt and
T	2					 		\vdash							12.	safe delivery. Talks/listens, discusses with youth and staff members, as a
	5															member of an Institutional Board in order to facilitate decisions concerning custody, discipline, treatment/parole.
															13.	Makes oral or written recommendations and reports in order to provide inputs to decisions which will respond to youth's needs.
r	2		2					3.5	3	3	2	3.2			14.	Responds to emergency situations in order to minimize adverse outcomes of events.
									3.5	3					15.	Maintains perimeter surveillance (patrols, television) of a correctional facility to prevent escapes and introduction of contraband into the facility.
															16.	Orients, answers questions from newly arrived youth in order to acquaint new residents with the conditions, rules, benefits, aids, etc., of the correctional environment.
							: "		4				ω		17.	Schedules/assigns/monitors assignments of Youth Service Workers under his supervision in order to assure that designated areas are properly covered for safety/security of youth and institution.
0	3.5	ω	ü	4	3.5	4		3.5	4	3.5		3.5	ယ		18.	Conducts formal and informal training for Youth Service Workers in order to assist them to gain proficiency and to improve job performance.
v	3.5	3	IJ	4	3. 5	4		3.5		3.5		3.5			19.	Evaluates personnel and institution facilities in order to improve job performance, to increase safety and
L		w	3	4	ω •5	4		3.	4	ω	w	w	w		20.	efficiency, and to make recommendations to superior. Conducts and attends meetings for key personnel to dissemi-
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Tasks

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action	lines of communication and	nal forms and procedures	supervision/	tructions	preparation and filing	and presentation	4.motivation of youth and subordinates	sonnel actions	2.on the job training techniques and procedures	l.organizing and staffing crews and work shifts	Knowledge of supervision of corrections personnel and activities	6. institution's intake manuals	f new youth	cirication or	ords and requirements	inventory and	on assessment	Knowledge of policies and procedures for youth intake to facility	Knowledges	TASK-KNOWLEDGE MATRIX
Tu		W]		1	2	2.9						2	3	2			3			Accepts custody responsibility for adjudicated delinquent.
		-																	2.	Observes and controls movement of youth in order to prevent disruptions or incidents and account for location and activities.
																			3.	Monitors youth visitations in order to maintain security and safety of residents, visitors, and staff.
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\mid		1		1	1														11.	Escorts and/or drives youth between correctional institu- tion and points outside in order to ensure prompt and safe delivery.
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-	_	4	\dashv	\dashv	\dashv	\dashv	4		-			-	_	-	+	-	_		16	duction of contraband into the facility. Orients, answers questions from newly arrived youth in
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									5						5	l		Workers under his supervision in order to assure that designated areas are properly covered for safety/
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	w		Ç		w	w	ω	ယ	3.5	3.5		3	w	3.	w		18.	Conducts formal and informal training for Youth Service
	1							L			- 1	5						Workers in order to assist them to gain proficiency and to improve job performance.
	ω		3		w	W	w	3.5	3.5	3.5		3.5					19.	Evaluates personnel and institution facilities in order to
						.												improve job performance, to increase safety and efficiency, and to make recommendations to superior.
F	w	E , 7	IJ		w	w	ω	ü	3.	ω	- 1			ω			20.	Conducts and ectends meetings for key personnel to dissemi-
1	1							5	5	5	ď	ر ا	5	5	.T			nate and receive information, encourage input to decision- making, and provide overall guidelines and direction.
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Tasks



4. Juvenile Community-Based Correctional Administrator

The occupational analysis of this key occupation is based on information obtained from 13 administrators of juvenile community-based facilities in nine states. The median level of education of these administrators was some graduate work beyond a 4-year college degree. They had a median of 4.5 years experience in corrections, and their median age was 30 years. Three-fourths of the administrators were male; 50% were white, 25% black, and 25% were other ethnic.

a. <u>Task and Knowledge Requirements</u>. The job of community-based correctional administrator consists of 20 tasks and 42 specific skills and knowledges needed to perform the tasks. All 42 knowledges and skills are not required for all tasks, and different tasks require various levels of expertise in the knowledges/skills.

The relationship of the 42 specific knowledges/skills to the 20 tasks is shown in the Task Knowledge matrix at the end of this analysis. The numerical values in the cells of the matrix, which were determined by the incumbent administrators and corrections experts, indicate the level of expertise required in the specific knowledges/skills for administrators to perform job tasks. The Task-Knowledge matrix essentially depicts the current task and knowledge requirements of this occupation.

The 20 tasks performed by community-based administrators are:



- 1. Assigns tasks and gives direction to program staff in order to effectively achieve program objectives and to make efficient use of available manpower.
- 2. Receives information and issues instructions on program requirements and establishes priorities.
- 3. Develops plans for and directs management and daily operations of physical plant, and basic care (e.g., food service, medical, dental) in order to satisfy federal/state/local department guidelines
- 4. Prepares and justifies additional or regular budget funds, new programs, and requests for additional personnel resources in order to provide and maintain new and existing programs.
- 5. Directs, reviews, and prepares reports in order to provide current information, gain support of programs, and to assist in long-range planning.
- 6. Reviews policies and operating procedures and makes revisions as necessary to meet federal/state/local or departmental requirements.
- 7. Assures responses to legislative, judicial, departmental, program and other inquiries.
- 9. Meets with individuals or groups of youth and parents, staff, community citizenry, community agencies, and institutions (e.g., school) in order to discuss problems, explain reasons for decisions/policies, consider inputs to planning and to involve interested parties in the total program.
- 10. Develops and revises procedures for effective response by staff, and other resources (e.g., police, fire) to emergencies/crises.
- 12. Meets with government and private officials and interested citizens in order to develop or expand programs.
- 13. Negotiates contracts and/or agreements with public and private organizations, individuals (e.g., doctors, therapists), local governments, and businesses in order to acquire needed services and resources.
- 14. Reviews referrals of candidates for community programs in order to maintain consistency with program capability.

^{*}The task numbers above correspond to the numbers that identify tasks on the Task-Knowledge matrix. During analysis activities, some tasks were deleted or combined to make them more relevant to the job which accounts for missing numbers in the above list. Task #22 was added by our expert consultants during the occupational analysis as representing a job task not previously covered in earlier lists of tasks.





- 15. Provides official information to boards and committees as requested.
- 16. Assigns responsibility for program participants to be acquainted with conditions, rules, benefits, aids, and goals of programs.
- 17. Assists with staff training to make staff more sensitive to needs of youth responding to these needs.
- 18. Identifies community resources for youth (e.g., employment opportunities, tutoring services) and facilitates utilization of these resources on behalf of youth.
- 19. Consults with staff to facilitate the progressive movement of youth toward greater self responsibility.
- 20. Assumes responsibility for monitoring daily operations of programs to insure conformance with program standards and guidelines.
- 21. Performs routine personnel and administrative duties.
- 22. Assumes responsibility for collection of data for evaluation purposes.

The single most critical task, in terms of the percent of incumbents who reported performing it and the amount of time spent doing it, is task 1 which involves assigning tasks and giving direction to program staff in order to effectively achieve program objectives and to make efficient use of available manpower. This task aptly states the core requirement of administrators and, in this sense, subsumes all the other tasks associated with the job. While the administrator may spend more or less time performing other tasks, overall he is responsible for assigning work and giving direction which achieve program objectives.

The 42 specific knowledges and skills listed in the Task-Knowledge matrix are organized under eight broad Knowledge Categories as shown below.

Knowledge Category

- A. Knowledge of personnel management (7 knowledges/skills).
- B. Knowledge of fiscal management (6 knowledges/skills).





- C. Knowledge of principles and procedures of correctional planning, program development and evaluation (6 knowledges/skills).
- D. Knowledge of space and facility management (5 knowledges/skills).
- E. Knowledge of local and federal legal decisions which affect correctional procedures and operations (2 knowledges/skills).
- F. Knowledge of systems management (5 knowledges/skills).
- G. Knowledge of the correctional system (8 knowledges/skills).
- H. Knowledge of procedures and resources for institutional disruptions and emergencies (3 knowledges/skills).
- b. <u>Training and Education Implications</u>. Whether or not incumbent administrators have received appropriate training and whether their training was received in optimal learning settings has direct T&E implications. Two occupational analysis sources provide data for assessing these implications for this occupation, (1) the Task-Knowledge matrix and (2) Task Checklist summaries of incumbent administrator responses to where they learned how to do specific tasks (i.e., academic, formal training, or OJT settings) and whether training was too little, about right, or too much. Table VIII-V-5 on the next page summarizes the information relevant for assessing T&E implications.
- c. <u>Job Training/Education Requirements</u>. The left portion of
 Table VIII-V-5 suggests the nature of the training/education requirements for
 administrators, both in terms of training content and where training can be best
 administered. The column averages indicate the relative importance of each
 Knowledge Category and, hence, suggest potential content for training. Above
 each letter identifying Knowledge Categories (i.e., A, B, ... H) is the suggested
 setting where specific knowledges and skills of each category can be learned.
 In terms of the percent of specific knowledges/skills needed at expert levels,
 the most critical areas to be covered by training are Knowledge Categories C





Table VIII-V-5
Occupational Summary Data for Juvenile Community-Based Correctional Administrator

The state of the s	AC/ FT	AC/ FT	AC	FT	OJT	FT/ OJT	AC/ FT	FT		Wher	e act				ount aini	of .ng
			Knoy	vledge	Catego								e e e e e e e e e e e e e e e e e e e		·	
Tasks	A	В	С	D	E	F	G	H	-	AC	FT	OJT		_	OK	OJT
1	43	17	33	20	100	60	50	67			✓	/		V		
2	14	33	83	60	100	100	63	100			/	ノ		V		
3	71	100	100	60	100	60	0	67			/			1		
4	57	100	50	60	100	40	38	0			/	1		V		
5	43	83	83	0	100	40	50	0			く	\		V		
6	86	67	50	40	50	40	50	33			~	/		/		
7	71	67	50	0	100	40	50	100				1		/		
9	86	67	50	0	20	20	88	100				/		1		
10	71	Õ	33	80	100	80	25	100		/	1			1		
12	29	50	50	40	100	40	63	33			\	/		1		
13	43	50	50	0	100	40	25	0			~	20		1		
14	14	0	33	40	50	20	38	33			/			1		
15	43	50	83	0	50	60	38	67			ts.	/		1		
16	14	17	33	20	50	20	38	67			<u></u>				レ	
17	57	33	67	20	50	40	38	67			1					
18	14	17	17	0	0	20	0	33			/	V			1	
19	14	1.7	50	0	0	20	13	0			V	/		1		
20	43	33	33	40	50	60	13	67			~	1			1	
21	71	83	33	0	0	100	0	0			1	1			/	
22	0	17	33	0	0	40	0	0		-						
Average Percent	41%	41%	48%	22%	55%	45%	34%	47%							•	

AC = Academic

FT = Formal Training

OJT = On-the-job training

- = too little

OK = about right

+ = too much





(knowledge of ... program development and evaluation), E (knowledge of legal decisions), F (knowledge of systems management), and H (knowledge of procedures ... crises).

(1) Amount and setting of training. Inspection of Table VIII-V-5 clearly demonstrates two points: (1) incumbent community-based administrators feel they have had too little training for many tasks, and (2) they have learned to perform job tasks primarily by on-the-job and formal training. This suggests that there currently are deficiencies in both the amount and quality of training given to administrators of community-based juvenile facilities.

Since administrators primarily manage, and since most of the tasks on which too little training was given involve some form of management technique or responsibility, the data in Table VIII-V-5 appear to suggest that the greatest need is management training. Interviews with incumbent administrators and juvenile corrections experts generally confirm this need. Moreover, based on visits to various state personnel and training departments and training academies, only in a few instances had steps been taken to provide administrators with systematic training in management and planning. Far more often, either no management training was offered or corrections administrators were required to compete for slots in infrequent management training administered by state civil or merit systems. Far more could be done to assure juvenile corrections administrators receive systematic management and planning training, whether through formal training offered by departments of corrections or by increased use of academic resources.

d. <u>Future Task and Knowledge Requirements</u>. From the preceding discussion, it is quite evident that incumbent administrators, juvenile corrections executives, and the occupational analysis data all agree that more effec-



tive management skills will be needed by administrators. The competition for scarce operating funds will not diminish during the next five years nor will the demands placed on juvenile corrections systems and facilities.

Administrators can expect increasingly to be held accountable, both in a fiscal and performance sense. Fiscally, better knowledge and techniques of fiscal management will be required (Knowledge Category B) to include internal fiscal administration, accounting and auditing procedures, and budget preparation, presentation, and justification. Performance-wise, administrators will need more and better planning and evaluation skills (Knowledge Category C) to include program development, policy development, and quantitative and qualitative evaluation techniques.

The need to develop community resources will continue to be a significant requirement during the next five years. The potential and limitations of community agencies, public and private, and methods for effectively orchestrating volunteer citizens in corrections programs will become more important skills for community-based administrators.

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TOTING GOEG	ngement	5.accounting and auditing systems	4.maintenance of internal fiscal adminis- tration	sment proced	2.budget preparation, presentation and justification	g sources, resources at the	Knowledge of fiscal management	7.interpersonal relations	6.collective bargaining, union agreements and contracts	5. affirmative action programs/EEOC	4. training needs	3.evaluation of job performance	2.organizing and staffing projects and units	1, rules and regulations concerning personnel actions (fair labor laws), overtime	Knowledge of personnel management	Knowledges	TASK-KNOWLEDGE MATRIX Juvenile Community-based Correctional Administrator 4 = expert knowledge level 3 = high knowledge level 2 = moderate knowledge level 1 = slight knowledge level 1 = slight knowledge level
			1	3	ш	H		3.2	1.5	1	_	ω.	ω	2			Assigns tasks and gives direction to program staff in order to effectively achieve program objectives and to make efficient use of available manpower.
_	•	2	2.5	3.9	2.5	3.9	_	1.8	2	2	•	2.5	2	1			Receives information and issues instructions on program requirements and establishes priorities. Develops plans for and directs management and daily opera-
L	,	w	3.9	3.5	3.5	2.80		ω	2.5	2.5		ω S	w	w			tions of physical plant, and basic care (e.g., food service, medical, dental) in order to satisfy Federal/State/Local Department guidelines.
2.1)	ω • 5	w	3.8	4	4		2.5	3.5	2	G	2	3	ယ		4.	Prepares and justifies additional or regular budget funds, new programs, and requests for additional personnel resources in order to provide and maintain new and existing programs.
3.5	,	2	2.8	3.9	3	ω		2.5	ယ	2.5	2.8	ω	2.5	р 5		5.	Directs, reviews, and prepares reports in order to provide current information, gain support of programs, and to assist
1	•	w	ω	3 5	ω	3.5		1.5	3.5	3.5	3.5	w	• •	ω G		6.	in long-range planning. Reviews policies and operating procedures and makes revisions as necessary to meet Federal/State/Local Dept. requirements.
		2	2.8	ω.	ω –	ω		w	2.8	2.5		2.8		8		7.	Assures responses to legislative, judicial, departmental program and other inquiries.
2.5	.	9	W	2.7	3	ω		4	3.8		2.5		3	ω		9.	Meets with individuals or groups of youth and parents, staff, community citizenry, community agencies and institutions (e.g., school) in order to discuss problems, explain reasons, for decisions/policies, consider inputs to planning and training interested parties in the total program.
F	•	3	1	1	1	2		3.5	2	2	3.5	JJ.	w	ယ		10.	Develops and revises procedures for effective response by staff and other resources (e.g.,police files) to emergencies/crises.
	,				3.5	3,5		3.8	ω	2	2	_	2.5	2.5		12.	Meets with government and private officials and interested citizens in order to develop or expand programs.
1.0	1	2.5	ယ	J	ω	3.5		3.5		2.5		J.	3.5	2.5		13.	Negotiates contracts and/or agreements with public and private organizations, individuals, (e.g., doctors, dentists), local governments, and businesses in order to acquire needed services and resources.
2.3	2	'	1 1	7	Н	2.5		I	1	ı		_	2	w	-	14.	Reviews referrals of candidates for community programs in order to maintain consistency with program capability.
2.5	n	2	ω (3	w	3 5			2.5	2.5	2	Э Л	س	ω		15.	Provides official information to boards and committees as requested.
5:5			2.5		-	1		3.5	1.5			л	2.5	2			Assigns responsibility for program participants to be acquainted with conditions, rules, benefits, aids, and goals of programs.
_	,	'	2	د.	l	–		3.9	2	1	4	נו		2.5			Assists with staff training to make staff more sensitive to needs of youth and responding to these needs.
4		-	н	•		w	,	3.5	'	_	2	1	-	1.5			Identifies community resources for youth (e.g., employment opportunities, tutoring services) and facilitate utilization of these resources on behalf of youth.
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نا	" 	ω 				ω		л	J	5	\vdash	ا د ا	"	ω Ui			Performs routine personnel and administrative duties.
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innovative approaches to use in corrections	procedures for youth	requirements for areas and/or	standards for space utilization	requirements for facility functions	space and facility management	omputer systems	nd qualitative evalu	.policy development and revision	program and proposal development	community-based trends and/or	facility trends and/or innovations	whedge of principles and procedures of rectional planning, program development evaluation	Knowledges	Juvenile Community-based Correctional Administrator
3 1		2.5	2	. 2		-	ω	2	2.5	3.9	1		1.	Assigns tasks and gives direction to program staff in order to effectively achieve program objectives and to make efficient use of available manpower.
2 1		2.8	ω	ω		2.75	ω .5			3.9	2		2.	Receives information and issues instructions on program requirements and establishes priorities.
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ω μ	•	2.5	ယ	ω		2.5	3.5	2.5	3.9	3.9	2.5			Prepares and justifies additional or regular budget funds, new programs, and requests for additional person- nel resources in order to provide and maintain new and existing programs.
2.5	_	•	2.5	2.5		2.8	3.8	3.5	3.5	4	2.5			Directs, reviews, and prepares reports in order to provide current information, gain support of programs, and to assist in long-range planning.
N 1	1	2	υ •	ω 		2	2	3.5		ω v	l 			Reviews policies and operating procedures and makes revisions as necessary to meet Federal/State/Local Dept. requirements.
2 1		2.5	2.5	2		2	w	2.5	2 6	ယ <u>စ</u>	2.5			Assures responses to legislative, judicial, departmental program and other inquiries.
2.5		2.5	2	2		2.5	2.5	ω	w	ω •5	2.5			Meets with individuals or groups of youth and parents, staff, community citizenry, community agencies and institutions (e.g., school) in order to discuss problems, explain reasons, for decisions/policies, consider inputs to planning and training interested parties in the total program.
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ω I		2	2.5	ω		2	2.5	2	4	ω 6	w			Meets with government and private officials and inter- ested citizens in order to develop or expand programs.
2 2	S	2	2	2.5		2	2.5	ω	. 1	ա Մ	1.5			Negotiates contracts and/or agreements with public and private organizations, individuals, (e.g., doctors, dentists), local governments, and businesses in order to acquire needed services and resources.
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2 F	-	H	J-4	N		2	ω	3.5	w	w	1			Performs routine personnel and administrative duties.
•		ı	1	ı	3	2.5	w	N	Н	ω	1.0		22.	Assumes responsibility for collection of data for evaluation purposes.

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L	+	-			-	Department guidelines.
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	5				ŀ	nel resources in order to provide and maintain new and
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5	L	_	'n			ested citizens in order to develop or expand programs.
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4				1		local governments, and businesses in order to acquire
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	w	1	ω		16.	Assigns responsibility for program participants to be ac-
						quainted with conditions, rules, benefits, aids, and goals of programs.
11	L		w			Assists with staff training to make staff more sensitive
L	<u> </u>					to needs of youth and responding to these needs.
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	1					ment opportunities, tutoring services) and facilitate utilization of these resources on behalf of youth.
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	٢		J1	[guidelines.
	2.5	T	.			Performs routine personnel and administrative duties.
1	-	+	1	 	22.	Assumes responsibility for collection of data for evalu-
	L	\perp		1		ation purposes.

Tasks

developments/trends in juvenile		organization-facilities, staffing, and		law enforcement agencies	3. interrelationship of juvenile justice system and other components of the CJ system		role of corrections in the administration justice	Knowledge of the correctional system	5.use of management information systems (MIS)	4.conducting effective staff meetings	delegation and review procedures	components-n	Knowledge of systems management	1. Supreme and Appellate court decisions 2. local decisions	Knowledge of legal decisions (local and federal courts) which affect correctional procedures and operations		Venile Community-based Correctional Administrator Assigns tasks and gives direction to program staff in order to
3.9		2.5	+-	3.5	3.5	1.5	1.7			3 2	-	ω	\dashv	9 0	 		effectively achieve program objectives and to make efficient use of available manpower. Receives information and issues instructions on program
3.9	2.5	2.8	<u>}</u>	w -	ω	2	2	-	ω	3/2./	w	2.8		ν π <u>(</u>	 	1	requirements and establishes priorities. Develops plans for and directs management and daily opera-
2	2.5	I	· 2	-	1.5	1	1		1.5	ω ^	Lu L	2.8		υ u			tions of physical plant, and basic care (e.g., food service, medical, dental) in order to satisfy Federal/State/Local Department guidelines.
3	2	2.5	2.8	2.8	2.5	1.5	1.5		w	2.5	2	2		2.7	i.		Prepares and justifies additional or regular budget funds, new programs, and requests for additional personnel resources in order to provide and maintain new and existing programs.
ω	2	2	,	2.8	ω	2	2		3.5	ر ان		w	4,0	3.7			Directs, reviews, and prepares reports in order to provide current information, gain support of programs, and to assist in long-range planning.
3	2	2.5	,	2.8	3	H	1.7		2.5	1.5	w	ω		2.5			Reviews policies and operating procedures and makes revisions as necessary to meet Federal/State/Local Dept. requirements.
ω Lie	1-	Ν.	2	2	ω —	2.8	2.8		ω •	1 4	2.5	2.5	_ k	u u	· · ·		Assures responses to legislative, judicial, departmental program and other inquiries. Meets with individuals or groups of youth and parents, staff,
3.5	2	u	3.5	ယ (၄	3.5	w	LÚ.		2.5	3.5		1.5		3 .5		•	community citizenry, community agencies and institutions (e.g., school) in order to discuss problems, explain reasons, for decisions/policies, consider inputs to planning
2.5	2.5	2	,	3.9	3.5	2	2			ناس	υ 5	ω	ļ	sω			Develops and revises procedures for effective response by staff and other resources (e.g., police files) to emergencies/crises.
3.5	1	2.5	د ا د	w	3.5	2,5	ω.		ω		2.5	ω		, G		ļ	Meets with government and private officials and interested citizens in order to develop or expand programs.
w	1.5		; -	٢	u	14	1.5		w	2 3.5	2.5	2.5	,	n			Negotiates contracts and/or agreements with public and private organizations, individuals, (e.g., doctors, dentists), local governments, and businesses in order to acquire needed services and resources.
υ 5	1.5		<u>'</u>	L	ω 		2				2	2.5		3 N			Reviews referrals of candidates for community programs in order to maintain consistency with program capability.
u u	-		.	ω	3	1.5	2.5		_		2.5		ا	2 5			Provides official information to boards and committees as requested.
w	-	2	ساد	w	w	2	2.5				·		_	3 2		16.	Assigns responsibility for program participants to be acquainted with conditions, rules, benefits, aids, and goals of programs.
2.5	۲	2.5	, w	2.5	3	1.5	1.5		-	ωF	-	1		υ u		350	Assists with staff training to make staff more sensitive to needs of youth and responding to these needs.
1	1	1.5		H	2.5	1	٦		2.5		,	2.5	•	о Г		18.	Identifies community resources for youth (e.g., employment opportunities, tutoring services) and facilitate utilization of these resources on behalf of youth.
2.5	1	2.5	, 2,	w	2.5	1	1		1.5	2 '	2	ш	ľ	3 H			Consults with staff to facilitate the progressive movement of youth towards greater self responsibility.
w	,		, -	1.5	2	•	H			- 1		ł		iှ		20.	Assumes responsibility for monitoring daily operations of programs to insure conformance with program standards and guidelines.
2.5	[5	1.5	2	7				L	3.5		ļ	7 5			Performs routine personnel and administrative duties.
Lis	Ľ		7.	2	ይ	1	<u> </u>		ω	1	2	<u>س</u>		3 1.5	- 1 - 1	22.	Assumes responsibility for collection of data for evaluation purposes.

5. Juvenile Institution Correctional Administrator

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Occupational analysis data were obtained from 26 administrators of juvenile correctional institutions in nine states. The median age of these administrators was 39 years, they had 11.2 median years experience in corrections, and the median level of education they attained was just short of a master's degree.

a. Task and Knowledge Requirements. This occupational analysis will be somewhat shorter than for the other juvenile corrections key occupations. There are several reasons for this. First, the Functional Job Analysis procedure used in the National Manpower Survey generated essentially the same list of tasks and skills and knowledges requirements as for community-based administrators. With a few minor exceptions for specific knowledges and skills involving developing and utilizing community resources, the Task-Knowledge matrix presented for community-based administrators also adequately represents the current job requirements for administrators of juvenile institutions.

Second, the unavailability of juvenile corrections experts during the limited time frames when the occupational analysis conferences were held precluded any chance for verifying the levels of expertise needed in specific knowledges/skills for the performing of specific tasks. Consequently, there is no information available for conducting a knowledge-skill analysis for this occupation.

Third, the evidence and information obtained from incumbent administrators of juvenile institutions and corrections executives during field interviews were consistent and practically unanimous in asserting that the primary knowledge/skill deficiency and, consequently, the most significant training need, current and future, is in management. Institution administrators manage programs, staff,

youth residents, and resources involving large sums of public money. The need for effective management far outweighs any need for greater skills in specialized operational areas on the part of institution administrators.

b. <u>Training and Education Implications</u>. The youth committed to juvenile correctional institutions will continue to decrease in number during the next five years, but will represent more complex and "harder core" cases of delinquency. To deal with this population, administrators will have more specialized, and expensive staffs, increasingly demanding unions or employee associations, increased pressure to be accountable, and tighter, harder-to-get budgets.

A national survey of just under 600 juvenile correctional administrators conducted by the Bureau of Social Science Research as part of the National Manpower Survey (discussed in more detail in Volume III of this report series) quite compellingly points out the need for more and better management training. Almost two-thirds of the juvenile institution administrators reported that the most difficult and frequent problems and decisions involve management. Moreover, about 80% of the administrators recommended additional training in facility, budget, and personnel management and/or in planning and evaluation as being especially beneficial.

While the need for more effective management skills and, hence, more and better management training is clearly indicated, the response of most jurisdictions is typically meager. Few state departments of juveralle corrections offer frequent and progressive management training and few make well planned and articulated use of outside training or academic sources to provide the training. More effective management skills and more effective management training will be increasingly important over the next five years.

E. ANALYSIS OF SIGNIFICANT TRENDS OR INNOVATIONS AFFECTING FUTURE AGENCY MANPOWER NEEDS

1. Current Status

A variety of issues which impinge upon future manpower needs in juvenile corrections are discussed in this section. The following topics are included: impact of the Juvenile Justice and Delinquency Prevention Act of 1974, emerging occupations, program emphases, programs other agencies should adopt, projected changes in agency work, and future agency needs.

a. Impact of Juvenile Justice and Delinquency Prevention Act of 1974. One initial focus of this Act is the deinstitutionalization of status offenders and many delinquent youths. The degree to which states have achieved this goal varies. As a first step, most states are presently grappling with the problem of moving status offenders elsewhere but are at various stages in their activities. At least one state surveyed has completely separated status offenders from the institutional setting. The approach adopted by another state involves eliminating the problem at the core by working toward deinstitutionalization coupled with early intervention. By contrast, another state is only contemplating the problem; over 50% of status offenders in this state are in institutions and would have to be transferred. Some states have passed legislation to mandate the separation of status offenders from the general category of delinquents. In other states, such legislation is still needed to make local counties comply with the objectives of the Act.

The deinstitutionalization of status offenders and delinquents has implications for manpower planning in that institutional populations are reduced and alternative programs must be implemented. Deinstitutionalized juveniles are most often routed into diversion programs or individual family, foster care, or group homes. As long as the responsibility for status offenders remains

within the juvenile corrections department, staff may be needed to provide community-based services to status offenders as well as delinquents in a community setting. One solution to the staffing problem has been adopted almost exclusively by one state. Private purchase of services for status offenders and some delinquents is the key. Advantages to this approach are reduced economic costs to the department and increased control over the kinds of services provided to special youth groups because of contractual arrangements.

Whatever provisions are made to give separate care to status offenders will determine how manpower is affected. If care is to be provided within the juvenile corrections department itself, more personnel with skills for dealing with youths in a community environment are needed. Alternatively, if care is to be provided on a contract purchase of service basis, more personnel with skills in finance and management are needed to oversee programs. Additional requirements for staff are skills in evaluation (to determine how well the needs of targeted youth are being met) and knowledge of community resources (to identify appropriate existing programs). When no resources exist, it may be necessary for staff to be experienced in developing community resources to respond to different needs.

b. <u>Emerging Occupations</u>. The development of new occupations and influences on the numbers of people needed to fill them are important considerations in an analysis of future manpower staffing. Emerging occupations are developed to respond to previously unmet needs or are the result of restructuring existing occupations.

Most states surveyed indicated that they have positions which could be regarded as emerging occupations. These include planner, recruiter, foster

home parent, community service worker, and youth counselor (essentially a composite of counselor and houseparent roles). The reasons cited for the emergence of these occupations include the emphasis on treatment over custody and the group treatment approach, the need for planning to achieve objectives, and the trend toward nonsecure facilities. Only a small proportion of staff in any department included one or more of these new positions.

At the agency level, the development of emerging occupations can be more easily traced. This is partly due to the fact that new positions can be examined as they relate to specific types of programs and organizational structure. New occupations will be reviewed according to the three agency types.

(1) <u>Detention centers</u>. Detention centers in the sample indicated that staff specialization might occur in several areas: juvenile laws and legal procedures, diagnosis of youth needs, educational evaluation, and different modes of therapy. At one agency, two new positions can be identified. A recreational specialist uses recreation as a mode of therapy and a tool to better understand juvenile detainees. An educational specialist has been hired to screen and evaluate the educational experiences of juveniles. These positions have been created at the suggestion of the agency staff.

Other agencies claim that new positions are needed, although no moves are being made to establish them. One agency reports a need for a diagnostic specialist to supervise a token economy system for the youth in the center.

Another agency has expressed a desire to use court advocates. Staff in this position would represent the juvenile in court and recommend a plan of action to meet the youth's assessed needs. It has been suggested that counselors serve in this capacity, since they are the persons closest to the juvenile

during the detention period. However, there are limitations placed on who can testify in court.

In general, agencies that indicated no new positions also state that no substantial changes have taken place in the content of existing key positions. Agencies with emerging occupations, however, note that existing occupations have undergone some modifications. At one agency, additional skills and knowledges are recommended for administrators and houseparents, who must learn implications of laws relating to juveniles and how to deal with a wide range of youths, respectively. At another agency, counselor and child supervisor positions have become less authoritarian; personnel act more like friends to encourage more honest interaction with juveniles. At still another agency, the introduction of a token economy to make youth expectations more uniform is also having an effect on group workers — they are now held more accountable for their actions.

- (2) <u>Training Schools</u>. New occupations are generally not in evidence at training schools. Only one institution has adopted a new position—that of cottage coordinator. Another agency has expressed the need for new positions, however; the addition of a training officer and a coordinator for volunteers would improve services.
- (3) <u>Community-based programs</u>. In contrast to other types of juvenile agencies, community-based programs are relatively new. Some programs were expressly established to better meet perceived needs of juveniles and, therefore, have incorporated new positions into their operations from the start. These new positions may have been created by modifying those found in more traditional settings to correspond to the requirements of community-based work. Because the new or modified positions have been a part of the

programs since their inception and may still be adequate as originally designed for community-based needs, few recent additions or significant changes may be evident in community-based manpower surveys. Therefore, to establish occupational trends for community-based programs by considering only recent additions and changes could be misleading; the programs and positions were innovative at the onset and remain so in spite of the relative stability in types of personnel utilized.

Only a few community-based programs report emerging occupations. One agency recognizes the need for an outreach worker to manage resources in the community. Another agency is using "job developers" to help reintegrate juveniles into the community.

There are essentially no major differences in key occupations. Whatever modifications have occurred tend to be a function of changes in state level policy or in types of services offered. For example, the adoption of an alternative type of shelter care program has produced changes in job content at one agency. In another, the traditionally custody-oriented position of youth supervisor has been modified to allow staff to take a more helping role. At still another agency, the administrative paper work added as a result of changes in state organization has influenced both supervisory positions and key occupations further down the line.

c. <u>Program Emphases</u>. A survey of what state headquarters and local agency executives would do with a 10% annual budget increase provides some indication of how staffing may be affected in the future. Changes in staffing can be predicted by identifying programs that administrators would emphasize.

In several states, administrators would concentrate on using additional funds in community programs. Particular attention would be focused in one

state on creating delinquency diversion day programs and youth service centers, especially for school dropouts. The programs and centers encourage positive activities on the assumption that juveniles are more apt to get into trouble if they have nothing to do with their time.

Given the proposed budget increase, another state would emphasize follow-up programs for youth released from institutions. Treatment begun in training schools (as an example) may lose effect after release, and follow-up is needed to prevent recidivism. Still another state would focus on providing services to youth with special needs by hiring additional staff or training existing personnel. Special skills are needed, for example, to work effectively with youths who have learning disabilities.

Funds would be equally divided between two areas of juvenile corrections by one state executive. One goal would be to enrich parole and training school programs by adding more staff. A second goal would be to support delinquency prevention efforts by giving the funds to youth service bureaus. Another executive would also split the hypothetical funds, but would assign different spending priorities. Sixty percent of the money would be spent on purchasing contracts to enrich program offerings, and the remaining forty percent would go to staff training.

Headquarters executives indicate a variety of funding priorities, then, but no one program area assumes importance over others. Administrator preference tends to be given to community-based rather than institutional programs.

Much variation in funding preferences is also present at the agency level. Here, however, the specific characteristics of the agency more directly influence administrators when they consider priorities for spending the extra 10%. The data are summarized below by agency type.

(1) <u>Detention centers</u>. Most detention center executives provided multiple responses to the question of how additional funds would be spent if they became available. The responses can be sorted into four major categories: staff additions, equipment and supply purchases (usually with a focus on recreation), staff salary increases, and expansion or addition of programs or services.

Most detention center administrators would spend extra financial resources on staff additions or equipment and supply purchases. What type of staff should be hired varies among the centers. Some executives would increase numbers of personnel in existing positions, adding teachers, group supervisors and security staff, and counselors. Possibilities for new positions include program coordinators to direct programs and encourage staff innovation, staff specialized in diagnostic assessment, and personnel who are responsible for transporting youths. Equipment and supply purchases would center on recreational improvements and activities; those include movies, crafts like pottery and ceramics, and money for parties and picnics.

Administrators are less inclined to spend additional funds on salary increases and expansion or addition of programs or services. Falling within this category are suggestions for shelter care and improvement of diagnostic services to insure the well being of juveniles (e.g., hearing tests, dental work).

(2) <u>Training schools</u>. A greater variety of responses is provided by school administrators who (like the detention center administrators) offer multiple preferences. Administrators in the two types of agencies put emphasis in different areas.

The most frequent response for training school administrators is in the area of staff increases. Houseparents, counselors, support staff, teachers, and drama and music specialists would be added by different administrators. A significant number of other administrators express interest in expanding or adding programs and/or services, such as family therapy, psychiatric counseling, vocational skills training, study release, and programs for youth with special needs.

Lower priority areas for spending, as indicated by the number of administrator responses, are equipment and supply purchases, reorganization, wage increases for support staff, addition of research and evaluation, and staff training.

(3) <u>Community-based programs</u>. Administrators of community-based programs offer extremely diverse responses to the question of how additional funds should be spent--probably reflecting the great variety in types and needs of programs within the category. The only responses which are given with any frequency are in the areas of program expansion and staff salary increases.

Possible uses for additional funds include those which are program specific as well as those given by administrators of detention centers and training schools: staff increases, staff training, program evaluation, providing health care for youths, and purchase of equipment and supplies.

d. <u>Programs Other Agencies Should Adopt</u>. Programs that administrators consider especially successful and worthy of dissemination are likely to receive priority in the future and may have an influence on manpower levels.

A new program which one state headquarters executive has suggested for adoption by other agencies is BEST (Breaking and Entering Strike Team). Juvenile counselors go with law enforcement officials to the scenes of crimes involving youths in order to determine whether or not detainment is necessary. Programs involving community arbitrators, who have authority and responsibility to settle community-related disputes, has been recommended by the same state as worthy of adoption.

A unique non-residential foster care program has been successfully used in another state. A variety of day programs are available to provide services to youth; these include academic and vocational education, family counseling, and survival training in a natural environmental setting.

Recommended as a superior approach to ombudsman is the ward grievance program underway in California. The goal is to resolve grievances informally, but a formal structure has been provided and can be used when necessary. A committee with equal representation of youth and staff determines the worth of a particular grievance. If a decision is unfavorable for the youth, it can be appealed to the superintendent and then go to outside arbitration. A panel of three, including an outside, neutral individual and administration and youth representatives, is convened to hear the case.

e. <u>Projected Changes in Agencies' Work</u>. Agencies at the state level offered suggestions for changes in existing programs. Several trends can be noted. One is an orientation toward the community as opposed to the institution. Increased community involvement will involve more coordination with other state level departments and community groups. An increased focus on delinquency prevention is evident in the expansion of community programs; there is a concern for dealing with the problems of juveniles before they are

picked up for an apparent crime. A consequence of earlier and greater diversion into community programs is that the youths who do end up formally committed to the juvenile corrections department will be harder core and more violent. If juvenile corrections programs continue to sort themselves into categories of community prevention and formal institutionalization for hard core offenders, staff must be capable of dealing with youth who are marginal problems as well as identifying or developing community resources. Handling difficult cases in a more formalized setting with a greater stress on security requires rather different skills.

Trends were also established by questioning administrators. Their responses are documented according to agency type.

(1) <u>Detention centers</u>. When executives were asked whether or not work of the agency would change over the next five years, some clearly envisioned changes, a few hoped for changes and some felt the work would essentially remain the same. Anticipated changes include improved security, provision of basic education, instruction in how to pursue careers, use of court advocates and better follow-up after court decision, better diversion and intake, use of day centers and better diagnosis of youth needs.

One change which may occur, according to executives, is in the use of volunteers as teachers for crafts, sewing, music, and other skills or recreations. The idea is to provide enrichment, but not to interfere with treatment; screening of volunteers might be required. Whether or how and to what extent volunteers are used in detention centers and throughout juvenile corrections has direct implications for manpower planning. Volunteers present one way of reducing the numbers of new staff needed in key occupations and thus must be considered a factor in analyses of manpower needs.

- (2) <u>Training Schools</u>. For the most part, executives at training schools expect changes to occur over the next five years. Changes anticipated include greater emphases on practical/vocational areas, increased attention toward family counseling vs. institutional adjustment, greater community involvement to include a sharing of facilities (e.g., gym, library) with the community, development of effective methods for dealing with more aggressive youth, and an influx into training schools of juveniles once classified as disturbed and "warehoused" in hospitals. Changes which are regarded as possible, but not as certain as those listed above, are an expression of treatment services for juveniles with special problems (e.g., mental retardation, emotional disturbances), provision of vocational awareness experiences, and a multiple approach to treatment.
- (3) <u>Community-based programs</u>. Not many community-based program administrators anticipate changes over the next five years, since most of the programs represented departures from the traditional when they were first implemented. The possibility for still further change is minimal.

The changes that were projected by executives are shifts in emphasis rather than additions or deletions of program components. For example, one program expects to increase research and planning efforts to the point where the agency will be planning comprehensive youth services for the community. The administrator for another program expects resources to be concentrated more on delinquency prevention than treatment. The shift of resources in one halfway house is toward administration and away from child care.

f. <u>Future Agency Needs</u>. Both state headquarters executives and local agency officials offered comments about future manpower needs, which are a direct function of anticipated program emphases. If programs do not assume

dominance, the need for personnel with program-specific skills dissipates.

Programs and personnel needs interact with other factors in manpower analyses.

Changes in programs run by the agency, for example, may affect training and standards for new personnel.

At the state level, there is a trend toward providing family services rather than dealing with the youthful offender in isolation. This requires staff to undergo training in family counseling. The emphasis on getting jobs for juveniles means that staff must know how to work in the community, making contacts with employers and "selling" the juveniles. If, however, these programs are operated on a purchase of service arrangement, there will be little need for changes in basic staffing. Staff may need to learn methods for dealing with local government and private agencies in order to acquire contracts for services.

With an increase in purchase of service arrangements, zoning may become a problem. Is a group home, for example, a commercial venture or can it be accepted as a residential complex? Other statutes may present stumbling blocks to contract services. When new programs require the acquisition of property, open bidding may provide a complication. An alternative to dealing with problems like these is to use the facilities and/or programs of an existing social service agency.

At the local agency level, questions about future agency needs were focused on manpower shortages. Administrators were asked whether they anticipated shortages five years from now and, if so, why. Answers to these questions are summarized by agency type.

(1) <u>Detention centers</u>. The majority of administrators expect no manpower shortages five years from now despite difficulties that may occur

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in areas related to manpower. For example, one administrator notes that the country will continue to be financially strained, but will somehow maintain adequate staffing levels. The number of qualified people available for work is expected to be high. One administrator expects more people to become interested in working in a place like a center. Furthermore, many social and volunteer organizations will continue to have a high interest in working with juveniles.

(2) <u>Training schools</u>. In contrast to detention centers, most of which do not anticipate manpower shortages, training schools generally expect to contend with understaffed facilities in the future. An anticipated budget cutback represents one administrator's basis for predicting reduced manpower. Another school is presently surviving reasonably well in spite of short-term, tideover funding which puts staff on an hourly wage and gives them no assurance of permanence. This frail system is likely to fold over the next five years. At another school, staff is already short, but is not expected to worsen since the maximum number of residents has already been assigned.

Staff shortages seem to be a function of a variety of factors. At one school, these include increased demands by new and required programs, over-crowding, and the fact that no new monies are available. The situation is further aggravated when staff take increased leave and disability time and when staff who are not suited for the work stay only because salaries are not competitive and the line jobs are generally unpleasant.

(3) <u>Community-based programs</u>. Only a few community-based programs expect shortages in the future. The recent and generous staffing of many of these innovative programs accounts for the low number of anticiapted shortages.

Current shortages noted at one agency are the result of offering more services to larger numbers of youths using the same sized staff. The shortages are expected to continue. At another agency, a staff position which has remained unfilled is expected to continue vacant.

2. Implications for Staffing and Training/Education

The previous section has listed trends and possible implications for manpower staffing and training. Those trends that are most likely to occur,
those that are likely to have significant impact on manpower staffing and
training, and those that appear worthy of further exploration will be indicated
in this section.

The focus will continue to shift toward diverting juveniles out of the formal corrections system at early stages; prevention of juvenile delinquency will receive increased attention. Schools and other human services will need to be involved in the early detection and identification of youth problems. Schools will also be required to provide better support for related issues like special education.

With the shift towards early detection and prevention of delinquency, staff will need to be able to operate in the community environment. The ability to coordinate operations among agencies will assume greater importance as a standard for entry. Training in early detection of behavior problems will be required for staff working with juveniles.

The need to offer special services to special groups of youths is related to the prevention of delinquency. Traditionally, juveniles with special problems or handicaps are treated no differently than others, or treatment is haphazard with no guidance on how to deal with special needs. As a first step in the treatment of special problems, diagnostic screening must be improved.

Special programs should then be developed to deal with the special groups.

Staff will at some point need additional training to work effectively with the mentally retarded, the emotionally disturbed, and those juveniles with speech and hearing difficulties.

With the diversion of many youths into community programs, those who are committed to juvenile corrections departments will be more violent and hard core. Staff will need to develop skills and knowledge appropriate for coping with the more difficult residents. Besides taking training to handle tough behavior problems, corrections personnel may need to become aware of or apply additional security measures.

Staff in community-based corrections work will need to make more use of existing community resources and to develop new community programs rather than depend on programs administered by juvenile corrections departments. As involvement with the community increases, training in how to identify and develop community resources will be necessary. Staff must be able to find out what resources are already available in a community and how to develop new resources to respond to unmet needs. Probation and parole officer models can offer some input to the task of establishing training sequences for community-based staff.

Two major areas of concentration in community-oriented corrections work are job development and development/identification of alternative educational and vocational programs. To have a job is an important goal for youths who have no feelings of self-worth or who feel little responsibility to society.

Vocational awareness—knowledge of the duties involved in a variety of careers—may be necessary for some youths. In addition, survival skills must be learned by youths who are not familiar with the responsibilities involved in working

and supporting themselves. Communications skills and how to get a driver's license, buy a car, get a social security card, or open a bank account are necessary topics to cover in preparing youths for vocations. Staff who work in community-based programs need training in order to provide youths with information on locating, acquiring, and holding jobs. The field of personnel administration might offer input in these areas since it is concerned with finding jobs, assessing what employers look for, and establishing potential sources of employment.

Juvenile corrections departments, for both practical and economic reasons, will most likely come to use purchase of service arrangements rather than directly provide youth services themselves. Staff will need to acquire knowledge in contract monitoring. Less direct interaction with youth will be another modification to which departmental staff will need to adjust.

As a result of the tightening economic situation, more day and fewer residential programs are expected to be conducted. 15 Many residential services previously provided by the department will be contracted out or transformed into less expensive day programs. Because of this transition, there will be a reduced need for staff to merely supervise youth. Instead, staff will be more actively involved in day programs.

The present budget crunch in corrections, which is expected to continue, is requiring administrators to better document program operations and output relative to costs. With this stress on accountability, administrators will need both accounting and budget-related skills to handle fiscal matters and an understanding of program evaluation methodology to assess program effectiveness. 16

3. Conclusions

Summary statements about factors affecting future manpower needs are presented below, organized into the following topic areas: 1974 Juvenile Delinquency Act, emerging occupations, programs with dissemination potential, major trends, future agency needs and manpower shortages.

Juvenile Justice and Delinquency Prevention Act of 1974*

• The extent to which states acquire funds under this act to separate status offenders from institutions has implications for staffing diversion programs or using purchase of service arrangements.

Emerging Occupations

- Few new occupations now exist in juvenile corrections, but need for certain new skills is generally acknowledged.
- Possible new speciality positions include planner, educational/ vocational specialist (to find alternatives to traditional programs), job developer, and community resource developer and manager.

Programs with Dissemination Potential

- The creation of a community arbitrator to resolve LE/CJ disputes is recommended.
- Change from residential to day programs offers greater potential for developing tailored programs at lower cost.
- Establishing a ward grievance program for protecting juvenile rights represents one alternative to relying on legal rulings.

Major Trends

- Fewer residential and more day programs will be provided by juvenile corrections departments.
- Fewer direct services will be provided and more contracting for services will be undertaken.
- The trend toward community-based programs may be somewhat offset

 by lew and order issues (e.g., keep violent youth secure and off

 the streets, protectable community).

^{*}It was this act (Section 521) that established the National Institute of Corrections, with authority for training correctional personnel. This same act provided for LEAA to coordinate programs for preventing and controling juvenile delinquency and created the Office of Juvenile Justice and Delinquency Prevention and the National Institute for Juvenile Justice and Delinquency Prevention.

- Delinquency prevention will receive increased attention as an extension of the trend toward earlier diversion out of the formal juvenile corrections system.
- Accountability is becoming increasingly important—how efficiently money is spent to accomplish various objectives will be a concern for administrators.

Future Agency Needs

- Training in family counseling is needed so that family services, not just services to the youth alone, can be provided.
- Personnel will need to focus on developing skills to help juveniles acquire and keep jobs.

Manpower Shortages

• While detention centers and community-based programs anticipate no critical manpower shortages in the future, training schools do expect to contend with understaffed facilities.

REFERENCES AND NOTES

- 1. Treatment is a term used to describe the various rehabilitation efforts of the program. These can vary from specialized psychotherapeutic techniques to "milieu therapy" programs in which the total setting is regarded as a treatment experience. See generally, Street, D.; Vinter, R. and Perrow, C. Organization for Treatment, New York: Free Press (1966). It might be noted that there is little evidence available to suggest that:

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- 4. A similar overview of the disparite organizational and administrative context on which juvenile corrections is based is provided by Sarri, R., Vinter, R., and Kish, R. "Juvenile Injustice--Failure of a Nation: Toward a National Policy for Juvenile Justice." National Assessment of Juvenile Corrections, University of Michigan: Ann Arbor, mimeo (1974: 31-32).
- 5. Levin, M. and Sarri, R. <u>Juvenile Delinquency: A Comparative Analysis of Legal Codes in the United States</u>. National Assessment of Juvenile Corrections, University of Michigan: Ann Arbor (1974).
- 6. For Texas data on staff and youth racial groups see Morales v. Turman, 383 F. Supp. 53 (E. D. Tex. 1974). See also Joint Commission on Corrections Manpower and Training, Washington, D.C. A Time to Act (1969).
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- 9. On trends regarding development of juvenile community-based programs see Vinter, R., Downs, G. and Hall, J. <u>Juvenile Corrections in the States: Residential Programs and Deinstitutionalization</u>. National Assessment of Juvenile Corrections, University of Michigan (1975: 33-37).

- 10. National data comparing youth in institutions on per capita basis for the states are provided by Vinter, R., Downs, G., Hall, J. <u>Juvenile</u>

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- 11. See generally, Nelson, K. and Levey. <u>Developing Correctional Administrators</u>. Joint Commission on Correctional Manpower and Training, Washington, D.C. (1969).
- 12. For the general argument against specialist training see Geis, G., and Cavanagh, J. "Recruitment and Retention of Corrections Personnel." Crime and Delinquency, 12, 233, (1966).
- 13. Carter, R., McGee R. and Nelson, E. <u>Corrections in America</u> (1975: 358) Lippincott: New York.
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 Health (1971).
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SUPPLEMENTARY READINGS

Additional references concerned with how juvenile corrections agencies relate to other organizations and major factors affecting manpower staffing are presented below.

- A. ORGANIZATIONAL LINKAGES
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- B. MAJOR FACTORS AFFECTING MANPOWER STAFFING
- 5. Nelson, E. and Lovell, C. <u>Developing Correctional Administrators</u>, Joint Commission on Correctional Manpower and Training, Washington, D.C. (1969).
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CHAPTER VI. PROBATION AND PAROLE AGENCIES

As part of the National Manpower Survey, questionnaires and personnel interviews were used to gather data from ten agencies specializing in juvenile probation or parole activities, from nine parole/probation departments or agencies that provide services for adult offenders and from headquarters in the sample states having responsibility for parole or probation services.

The instruments used to collect data included: 1) Personnel Survey Form,

2) Training Interview Form, 3) Executive Interview for Agency/Headquarters

Administrators, and 4) Trends in Parole/Probation Practices and Procedures.

For the NMS, the following definitions apply:

<u>Probation Officer.</u> The person who provides direct supervision and support for persons currently on probation (juveniles and/or adults).

<u>Parole Officer</u>. The person who provides direct supervision and support for persons currently on parole (juveniles and/or adults).

A. AGENCY DESCRIPTIONS

1. Size, Type and Functions

a. <u>Probation and Aftercare Services for Youthful Offenders</u>. Within the sample of probation/parole agencies, about half were committed to providing services for juveniles. Most of these offered aftercare services (parole only). Others dealt solely with probationers or provided for both aftercare and probation. The number of parolees under supervision at specific agencies ranged from 158 to approximately 600. The agencies which handled strictly probation functions supervised from 290 to 2200 probationers. Some of the agencies also

had responsibility for from 100 to 225 statutory offenders who were assigned to community facilities.

State headquarter interviews which focused upon juvenile probation and parole functions were carried out in almost half the sample, with representation from fairly populous states with a wide geographical distribution.

b. <u>Parole Services for Adults</u>. Somewhat greater attention was accorded manpower issues surrounding adult probation and parole. Seven field agencies and two state headquarters were included in the sample of adult agencies. Field agencies included, for the most part, offices that had combined parole/probation functions. Other offices in the sample were concerned solely with probation functions or focused totally on providing supervision for parolees.

The number of persons under supervision in these offices ranged from 500 parolees in a rural field office to 2,368 parolees in an urban center. The number of probationers handled by particular field offices varied greatly from 632 adults under supervision in an agricultural state to 6,696 probationers under supervision in the probation department of an urban county.

2. Organization of Parole and Probation Services

The organization of and responsibility for the delivery of probation and parole services took several different forms in the states included in the National Manpower Survey. In general, the organizations vary in the degree to which field services (i.e., probation and parole) are independent of or integrated with the administration of institutional services. As described by Skoler, the administration of parole and probation services has recently moved toward integration; such functions are organized into comprehensive systems which encompass field and institutional activities for both juveniles and adults.

State correctional systems vary in the extent to which they have moved in the direction of integrated administration. At one end of a continuum, one finds "fully integrated" systems where adult and juvenile probation, parole, institutions and detention facilities have been brought under a single organizing authority or super-agency. At the opposite extreme, there exist state correctional programs in which parole, probation and institutional components are functionally and administratively independent.

Based upon this trend toward integration in the correctional system, it is relatively easy to generate typologies for characterizing the organization of parole and probation agencies that have been included in the NMS sample. The information used to describe sample agencies is built upon data from the 1975—1976 Directory of the American Correctional Association, as well as information gleaned from field visits.

As shown in Table VIII-VI-1, the most integrated systems in the sample included states which developed correctional systems encompassing juvenile aftercare, juvenile institutions, adult parole and probation and adult institutions under the same administrative body. One of these, Florida, had for a number of years operated an independent state-level parole and probation commission which was recently (April 1976) incorporated into a state Department of Offender Rehabilitation, which has a broad range of field and institutional responsibility (not including juvenile probation services). Another state fitting this typology, Oregon, had established the Department of Human Resources as a governing body having responsibility for juvenile institutions and aftercare, adult parole, probation and institutions.

Maryland is an example of a second type of correctional system integration where juvenile field and institutional activities, and adult field services

Table VIII-VI-1
Administrative Organization of Parole, Probation and Institutional Services

	<u>Juvenile</u>			<u>Adult</u>		
State Location	Probation	Institutions	Aftercare	Probation	Institutions	Parole
Florida	Local	Dept. of Offender Rehabilitation	DOR	DOR	DOR	DOR
Oregon	Local	Dept. of Human Resource	DOHR	DOHR	DOHR	DOHR
Maryland	Dept. of Health & Mental Hygiene	DOHMH	DOHMH	Dept of Public Safet & Corrective Services		DOHMH
Colorado	Local.	Dept. of Institutions	DO1	Loca1	DOI	DOI
Iowa	Courts	Dept. of Social Services	DOSS	Courts	DOSS	DOSS
California	Local	Health & Welfare Agency (Youth Authority)	H & WA	Loca1	H & WA	H & WA
New York	Loca1	Dept. of Correctional Services	DOCR	Local	Dept. of Correctional Services	DOCR
Illinois	Local	Dept. of Corrections	DOC	Local	DOC	DOC
Massachusetts	Local	Human Services Administration	HSA	Local	HSA	Parole Board
Texas	Local	Youth Council	Youth Council	Local	Dept. of Corrections	Board of Pardons and Paroles

and institutions were organized by age of clients. Juvenile probation, aftercare and institutions were all administered by the State Department of Health and Mental Hygiene. Adult parole, probation, and institutional services were coordinated by the Department of Public Safety and Correctional Services.

A third form of organizational integration was characterized by integration of institution and parole services under one agency with probation handled independently on a local basis. For example, Colorado consolidates juvenile and adult institutions, adult parole and juvenile aftercare under a single state-level Department of Institutions. Similarly, the Department of Corrections in Illinois assumes responsibility for juvenile aftercare, adult parole, as well as juvenile and adult institutions. Probation services (for both adults and juveniles) were handled on a local basis. Iowa combines its institutional and parole (aftercare) services for juveniles and adults under a Department of Social Services. Responsibility for probation field services in this state were delegated to local authorities, which in this case meant the courts.

Other states in the NMS sample had correctional systems in which integration had not occurred; field and institutional services were operated independently at the state level. A pertinent example is Massachusetts where juvenile and adult institutions and juvenile aftercare services were administered by a Human Services Administration with juvenile services falling under the Department of Youth Services, a subunit. Parole services for adults were within the purview of a State Parole Board, while juvenile parole was organized on a local basis throughout the state. The least integrated system within the NMS sample is Texas where juvenile aftercare and institutions were operated by a Youth Council. Adult institutions in this state were administered by a

Department of Corrections and adult parole services were provided by a Board of Pardons and Paroles. Adult and juvenile probation were operated independently on a local basis.

Consistent with Skoler's analysis, the general movement along these lines appears to be in the direction of integration of functions under super-agency auspices. Most typically, parole services are first combined with institutional programs which together provide a continuum of services for those persons who are sent to institutions. Probation appears to be one of the last services integrated into the system because clients do not come to rely upon institutional and post-institutional field services. The process of integration outlined here appears to represent the modal case where institutions and post-custody field services are brought eventually under the umbrella of the same super-agency. It is evident from the above discussion that the agencies sampled were reasonably representative of the differing types of administrational integration currently being implemented.

3. Personnel Distribution

The current distribution of personnel, as reported by the various staff members interviewed in the probation and parole field offices is shown in Table VIII-VI-2. (These agencies are not identified by name by prior agreement.) Generally speaking, the ratio of supervisors to probation and/or parole officers in any given agency is roughly one-to-ten. As an example, in one state a juvenile probation office employed twenty-two caseworkers and two administrators. With several exceptions, the size of probation/parole offices was not large, ranging from nine professional staff (one administrator and eight aftercare workers) in one parole office to sixty-six professionals (two administrators and sixty-four officers) in an adult probation office in

Table VIII-VI-2

Personnel Distribution of Juvenile and Adult Probation and Parole Field Agencies

	JU	VENILE AGENCIES			
		Number of Staff h	y Agency Function	Number of	
Agency	Probation	Parole/ Aftercare	Parole/ Probation	Clients per Agency	Average Caseload
#1		1 Administrator 10 Officers		158	15.8
#2			Data Unavailable	3,025	
				94.	
#3	2 Supervisors 22 Caseworkers			390	17.7
#4		1 Administrator 8 Aftercare Workers	S	275	34.4
		ADULT AGENCIES			
# 5	4 Supervisors 29 Officers			2,368	71.7
#6	2 Administrators 64 Officers			6,696	104.6
<i>#</i> 7		Unavailable		6,093 Parole-644) obation-5,449)	
#8	2 Administrators 19 Officers			696	36
#9		2 Administrators 9 Officers		575 Parole-500) obation-75)	66
#10				632 (Probationers)	

the same state. This last office represents the exception rather than the rule; the remaining offices have staff sizes ranging from eleven to thirty-three.

In juvenile agencies, the caseload ranges from 15.8 (in a new agency only two months old) to 34.4. The lowest caseload was being maintained to provide more in-depth services.

The caseload in adult agencies was considerably higher and went up to 104.6 per officer in one agency. In general, adult parole/probation offices included in the sample were larger, having twice the staff and at least twice the number of clients as juvenile agencies.

An attempt was made in the course of visits to state juvenile and adult headquarters to develop an overview of staffing on a state-by-state basis. Unfortunately, little data relevant to this effort were forthcoming. This was in part due to discrepancies between the format of the data gathering instruments and the nature of available data. Because of varying record-keeping procedures at agencies and headquarters, respondents were not always able to supply data in the designated format. Some of the missing data was also due to oversight on the part of respondents.

For the purpose of better describing parole/probation staff distribution, it was worthwhile to place current staffing patterns in the historical perspective of growth in this area. Probation has been considered the "growth industry of corrections" and both state level and agency-level information gleaned from our data gathering efforts show considerable short-term, as well as long-term increases in parole and probation manpower.

a. <u>Juvenile Probation and Aftercare</u>. Juvenile probation and aftercare are usually operated on a local basis. Information gathered in juvenile headquarters indicated that a few states had experienced growth in manpower over the short-run (i.e., 1974-1975) and all states had increased the number of authorized aftercare positions between 1973 and 1976. For half of the latter states, this growth was in excess of 10%. None of the states provided information indicating decrease in manpower over the long-term (i.e., 1973-1976), although there were a few states that indicated short-term decreases in personnel between 1974 and 1975.

Less than half of the juvenile parole/probation field offices provided information on changes in staffing patterns of key occupations. The data from these individual field offices appear to fit the general pattern established from headquarters information.

b. Adult Probation and Parole. Growth in adult parole/probation manpower was also evident from data collected both at headquarters and field offices. Manpower information provided from headquarters indicates there has been relatively rapid growth in parole officer manpower. As illustration, the number of parole officers increased in one state from 105 to 132 between 1973 and 1975, and in another from 544 to 780 between 1973 and 1976.

Personnel information gathered from the field offices was representative of the major trends found in headquarters offices. Increases have occurred in the numbers of both probation and parole officers and supervisors over the years 1973 to 1976. Over this time frame, a probation office in one state showed an increase from 66 officers and supervisors to 73 and a parole office increased officers and supervisors from 33 to 41. Similar pictures emerged in other states from a variety of geographical regions. Thus, agencies included in the NMS sample appear to reflect the generalized growth pattern in field services described by Wallace. 3

4. Conclusions and Findings

The field interviews with a limited sample of probation/parole agencies and headquarters suggest several tentative conclusions.

- There is a trend toward integrating field services with the administration of institutional services. Parole functions are more integrated within corrections than are probation functions.
- There has been growth in manpower for both adult and juvenile probation/parole, but this growth has not kept pace with caseload growth.
- Probation/parole caseloads typically are higher for adults than for juveniles.

B. MAJOR FACTORS AFFECTING MANPOWER STAFFING

NMS field interviews indicate that probation and parole agencies are now operating under conditions of manpower shortage, with long-standing gaps in staffing resulting from both increasing workloads and more stringent legal and functional requirements placed upon existing staff. Shortage conditions were evident in both juvenile and adult agencies; however, the manpower shortage in adult programs appeared to be more extensive.

All of the adult probation and parole agencies sampled indicated they were experiencing a critical manpower shortage. In over half of the agencies, the shortage was confined to parole/probation officers. Other agencies indicated a need for more supervisory personnel and staff who specialize in investigatory functions or a need for manpower in all categories of personnel including administration and training officer and casework positions.

Adult agencies claimed that there was a sizeable discrepancy between existing and optimum staffing levels. Estimates of need for additional staff ranged from ten to thirty staff members per agency.

Available data regarding the length of existing manpower shortages indicates that they have been long-standing; such shortages have been apparent for at least three and one-half years and in one instance for as long as thirteen years.

In contrast to the adult agencies, there is no consistent pattern of manpower shortages in the juvenile probation and aftercare agencies included in the NMS sample. A little less than half of the agencies sampled indicated that they had less than optimum staffing. Positions desired by agencies include: 1) paraprofessional aides to assist parole officers, 2) specialized parole officers, 3) personnel to assist in job and educational placement of youthful offenders, 4) counselors and 5) clerical personnel to reduce the paperwork burden confronting parole and probation officers. Available data indicate that these shortage conditions in juvenile agencies have existed for at least two years and for as long as three and one half-years.

In both adult and juvenile agencies, then, the existing manpower shortages are not recent developments, but have been manifest for several years. These manpower problems have been influenced by: 1) exogenous forces emanating from other components of the LE/CJ spectrum, 2) recent trends and innovations in the provision of parole (aftercare) and probation services and 3) resource constraints affecting manpower retention and the development of solutions to staffing problems.

1. Input of Exogenous Forces Upon Functions and Workloads

Three major exogenous factors appear to have increased the workload of probation and parole agents:

- Recent court decisions have influenced roles played by and responsibility assigned to parole and probation activities.

- Increasing numbers of offenders have been paroled or assigned to supervised probation.
- Bureaucratization and flow of paper work have increased.
- Effects on Juvenile Probation and Aftercare Manpower. court decisions concerning the rights of adult parolees to due process proceedings prior to return to institutions (e.g., 1972 Supreme Court decision, Morrissey vs. Brewer: 1973 Supreme Court decision, Gagnon vs. Scarpelli) have sensitized youth service authorities to the rights of juvenile offenders. condition has become manifest despite the fact that the Morrissey and Scarpelli decisions are strictly concerned with adult offenders. Aftercare workers are not highly protective of the rights of youthful offenders, and as noted in one state, the indirect effect of the Morrissey decision has been an increased need for parole and aftercare workers to acquire legal expertise. The net impact of these court decisions and their more or less informal application to the juvenile correctional system has markedly increased the workload of aftercare workers. For example, in order to provide sufficient background information and evidence for hearing concerned with the status parole of juvenile offenders, aftercare personnel have had to carefully document their interchanges with clients, noting violations and related infractions. In addition, these staff members must also conduct investigations and interact with law enforcement agencies in support of these hearings. Given no net increment in the number of aftercare workers, there has been a movement away from provision of rehabilitative services and intensive follow-up and towards increased investigation, surveillance, crisis-management and report preparation. Not surprisingly, this increased workload creates a discrepancy between the number of parole officers needed and the number of officers currently available.

Court decisions and changes in the legal climate which have transformed the role of probation workers into child advocates have been another influence on the activities of probation officers. As part of the increasing emphasis on child's rights, probation officers are often placed in an advocacy position before the court. Since other factors have remained constant, this movement has increased the burden upon probation officers.

Recent increases in crime and arrest rates have also impacted heavily upon correctional facilities and services. Almost all offenders (young and old) come to rely eventually upon probation and/or parole services. Field services are under increasing pressure to serve a larger pool of young offenders. and there has not been a proportional increment in detention and institutional facilities to assume a share of the increased burden. Thus, the number of cases that probation and aftercare systems have to handle has increased, and while the number of juvenile caseworkers has also increased somewhat, a discrepancy exists between the two, resulting in considerable pressure to increase caseloads.

One of the most frequently mentioned factors influencing workload and manpower needs in youth probation and aftercare services has been the increasflow of paperwork that agents must confront. In part, increased paper work and report writing requirements are a function of court decisions mandating detailed documentation of activities and actions with clients, but in large measure, this problem may stem from increasing bureaucratization within field agencies and between field services and headquarters. The movement noted by Skoler towards integration of field and institutional services under superagencies may have as its cost increased paperwork and bureaucratic delays and obstacles.

Agency administrators have focused on several different approaches to handling the increased workload without boosting the number of clients that a given probation/parole officer must handle. The primary technique used by most administrators is that of creating new specialist positions and/or revamping current positions to handle particular elements of the parole and probation officer's job. For example, in one aftercare/corrections facility, a court liaison position was established to assist in developing an advocacy role for youthful clients in the court. The person holding this position was given a small caseload and responsibilities that would otherwise be taken on by a number of caseworkers.

In a probation office in another state, an <u>intake specialist</u> position was developed from an existing personnel slot to focus on decisions pertaining to court appearances. The position required specialization in intake procedures and was not involved with field work; probation officers were thus relieved of much of the burden of court appearances.

In an aftercare service in one industrialized state, unit supervisors who previously did not have caseloads assumed responsibility for supervising a small number of cases. This office also developed a <u>vocational specialist</u> position to provide youthful clients with vocational counseling and to assume these duties for parole officers in a team context.

A second type of approach used by administrators to deal with increasing workloads has been to try to hire clerical and paraprofessional personnel to take over some of the paper work that has put a strain upon caseworkers. In one state, administrators obtained CETA funds to hire clerical personnel and students to assist caseworkers in carrying out some of their administrative duties.

Effects on Adult Probation and Parole Manpower. The Morrissey and Scarpelli decisions have had their most direct impact upon the activities of adult parole agents. In general, these decisions have meant that parole officers have to perform tasks previously not considered within their purview and/or have more stringent requirements for performing existing functions. As was evident within juvenile field agencies described earlier, parole and probation officers who serve adults have an increasing amount of paper work associated with documenting evidence and investigations for revocation hearings. For example, one agency noted that increased requirements for reporting were produced by insuring pre-revocation hearings to all parolees. The increased workload has made it difficult, if not impossible, for parole officers to involve most clients in planning and development of meaningful treatment plans. Instead, officers focus their energies upon those in their caseload who need the most help. In addition, several agencies indicated that parole officers must now make more frequent court appearances, further reducing the time available to provide supportive and follow-up services.

The number of offenders has increased sharply and this has been felt most keenly by probation and parole agencies. For example, one regional parole office indicated that the number of clients is up 20% over two years ago. This increase has been accompanied by an increase in the number of police, judges, and prosecutors which tends to exacerbate and increase the number of persons who flow through the system and the speed with which they move from institutional to field service. In addition, the nature of offenders has changed; they are more difficult to deal with and parole board members are reluctant to release such offenders directly into the community without some form of supervision.

The bureaucratic context within which probation and parole agencies function appeared to inflate workloads through increased paperwork, requirements for more investigations and delays associated with processing parolees and probationers through the system. One parole office reported that the growth of community-based correctional facilities and increased use of furloughs has led to a requirement for a larger number of investigations to support decisions regarding sentencing to community programs and eligibility for weekend furloughs. In another state, headquarters established a management information system to aid in developing data and tracking of clients for management purposes. Unfortunately, the data has to be entered into the system by hand, a task which has been passed on to parole/probation officers. As might be expected, this work requirement has forced the agencies to stretch their manpower a bit further, and in adult parole and probation agencies such pressure is not without its costs.

The manpower picture that emerges in adult field agencies is strikingly consistent across the states included in the NMS. All of the agencies feel understaffed and under a great deal of pressure. A common description of the manpower situation voiced by agency administrators was that their people are "tired and frustrated." The requirements for increased parole and probation manpower have not yet been adequately satisfied.

2. Effects of Recent Trends in Parole and Probation Practices on the Manpower Picture

In the course of the National Manpower Survey, an attempt was made to pinpoint the impact of four recent trends and innovations in parole/probation practices upon manpower and the need for additional personnel. Innovations or services which had become more firmly established included:

- Community Resource Management--probation/parole (aftercare) officers function as managers of existing resources in the community to coordinate the provision of services for clients.
- <u>Purchase of Service</u>--special treatment services are provided to clients on a contract basis, with the department assuming the burden of costs.
- Employment of Ex-offenders--ex-offenders are hired to serve in professional roles in parole and/or probation and aftercare.
- Use of Volunteers--professional or non-professional members of the local community volunteer their services to work directly with clients and thereby provide additional resources.

Two major questions had to be answered with respect to each of these trends. First, to what extent were these innovations taking place in agencies and states included in the NMS sample? Where such innovations were in evidence, a second question was asked to determine the impact of altered practices upon manpower and staffing.

a. Effects on Manpower in Juvenile Probation/Aftercare Agencies.

Table VIII-VI-3 shows the number of agencies that have adopted different innovations in probation/aftercare practices. As illustrated in the table, community resource management approaches were adopted in 60% of the field agencies included in the sample. In one state, juvenile parole agents made use of schools and recreation facilities. In another state, aftercare programs have developed contacts with police, schools, and social service agencies to collaborate in providing clients with employment opportunities and counseling services.

Purchase of service was clearly the prevalent innovation used by the youth agencies contacted. Nine of ten agencies relied upon purchase of service agreements in one form or another. A division of youth services in one state used a purchase of service approach to initiate family group treatment homes, in which counselors worked with parents and youth simultaneously to provide short-term (not more than six months) treatment capabilities. This sort of

Table VIII-VI-3
Use of Innovative Probation/Aftercare Practices
in Juvenile Field Agencies

Geographic Location of Agency by Region	Community Resource Management	Innovative Purchase of Service	Employment of Ex-Offenders	Use of Volunteers
Far West	X	X	X	X
Industrial Midwest	x	X		x
Southeast	X	X		
Mid-Atlantic	x	X		
South		X		
Southeast		X		
Northeast		X		
Northwest	X			
Industrial Midwest	X	X	X	x
Mid-Atlantic		X		X

operation is illustrative of the manner in which purchase of service techniques can provide services to youthful offenders. Many of the other agencies involved in the NMS also had contracts with group homes to provide living facilities and treatment services, particularly for status offenders.

As might be anticipated, few agencies hired ex-offenders. Those that did were located in diverse geographical regions. The most typical assignments for ex-offenders were counselor roles in which they could achieve immediate recognition and rapport with clients.

Several states had considered the employment of ex-offenders in probation/
aftercare agencies, but had overtly rejected such proposals. It appears that
one impetus for hiring former offenders has come from federal (LEAA) funds
designed to be used in special projects involving ex-offenders.

Volunteers were employed in five of the ten agencies, and contribute to programs in a variety of ways. In one agency, for example, volunteers sometimes served as craft teachers or as "buddies" of offenders when they are in institutions and have continued to play the same role when youth move to parole status. In another office volunteers served as caseworkers and, in some instances, as clerical workers.

The direct impact of these innovations has not been felt in terms of manpower or workload. Administrators were not able to identify significant changes in personnel requirements that have accompanied the development of community resource management techniques, purchase of service arrangements, hiring of ex-offenders, or the use of volunteers. Where such innovations were employed, benefits were frequently noted, but at present there appear to be no identifiable costs in manpower terms.

b. Effects on Manpower in Adult Probation/Parole Agencies. As shown in Table VIII-VI-4, the agencies providing information concerning the use of innovative practices have come to rely upon community resource management techniques. Community resources have been developed to provide social services and mental health services on a local level and community resources management techniques have been applied to job development and vocational counseling services.

In the states which had established purchase of service, contractual arrangements were designed to provide clients with emergency lodging and accommodations or were set up for provision of psychiatric evaluation, vocational training and medical and dental services.

A very small proportion of agencies sampled have used ex-offenders in a professional capacity. Volunteers were infrequently used to provide supportive and job development services, but there were plans to develop volunteer programs.

In general, the effect these innovations have had upon manpower and work-load has not been significant. The innovations have increased the range of services available to clients and thus have the potential for reducing the need for probation/parole workers who are then not required to provide similar services. However, the innovations discussed above have required coordination and development that increases the workload, thereby compensating for any workload reduction which has occurred.

This condition was evidenced in one parole office where a community resource management model was operative. By developing community resources to provide services for clients, parole officers were able to speed up delivery of service. However, this required greater coordination of agency activities

Table VIII-VI-4 Use of Innovative Probation/Parole Practices in Adult Field Agencies

Location of Agency by Region	Community Resource Management	Innovative Purchase of Service	Employment of Ex-Offenders	Use of Volunteers	
West	X	X		X	
Northwest	X	x	x		
Middle Atlantic	X				

which dealt with the individual parolees, and led to an increase in parole officers' workloads.

The same "compensatory" effect was obtained with the use of volunteers in parole programs where volunteers facilitated job placement and provided supportive services. In this case, parole officers found that they had to orient volunteers and carefully coordinate their activities, which tended to increase their own workload.

3. Impact of Resource Constraints Upon Manpower

Resource constraints may be seen to influence the manpower picture in probation/parole/aftercare agencies in two ways. First, the lack of resources makes it difficult for agencies to retain the services of qualified staff.

Second, limited resources reduce the potential for administrators to develop solutions to manpower problems. Since these conditions apply equally to adult and juvenile agencies, no attempt will be made to describe the impact in separate sections.

a. Impact of Resource Constraints Upon Personnel Retention. Perhaps the strongest indication that limited resources have made it difficult to retain staff is the fact that much turnover may be attributed to persons seeking higher wages and improved potential for advancement. For example, some adult parole/probation and parole offices indicated that turnover was largely a function of staff seeking more lucrative positions. Many of the officers were seeking federal jobs, which offer higher pay for equivalent responsibilities. The desired positions included jobs as federal probation and parole officers, and investigation positions in military agencies (civilian positions) in the CIA or in the FBI. Because of the heavy investigatory nature of parole and probation work, many staff members easily qualified for such work. As one

parole administrator put it, "we are the best training ground for federal investigation positions."

Indirect effects of limited resources upon manpower and staffing are also indicated. That is, limited resources make it difficult for administrators to reduce caseloads to manageable levels. As a result, the staff feel overworked, tired and frustrated. From available data it appears that probation/parole officers become disenchanted or "burnt-out" due to such working conditions and are inspired to look elsewhere for more fulfilling and less burdensome employment.

b. Impact of Resource Constraints on Solutions to Manpower Problems. Data gathered in the course of agency executive interviews indicate that there is a gap between resources available for additional manpower and staffing needs for the next five years. In both juvenile and adult field service offices, the response to manpower shortages by administrators has involved requests for additional professional, paraprofessional or support staff from the state and in several instances, the preparation of federal grant proposals to upgrade staffing. Despite these efforts, the majority of adult agencies sampled predicted that the manpower shortage would continue (and perhaps worsen), and over half of the juvenile agencies indicated that current efforts to increase staff would not prevent a manpower shortage during the next five years. The outlook of these administrators was relatively pessimistic; while some of their personnel requests may be filled, the additions would most probably come too late or in insufficient numbers to prevent shortages.

4. Conclusions and Findings

Several tentative suggestions emenate from the preceding discussion:

• There is in general a long-standing manpower shortage in both adult and juvenile probation/parole. The most acute shortage is in

probation/parole officer positions, although the need for additional supervisor and specialist positions is widespread.

- Probation/parole workloads will continue to increase as a result of recent court decisions and the growing numbers of clients assigned to supervised, non-residential custody.
- There will be increasing use of specialists for administrative and liaison functions in attempts to provide probation/parole officers more time to supervise caseloads.
- Community resource management in which probation/parole officers actively serve as brokers of existing community services and resources for use in developing individual programs for clients will continue to grow in importance.
- The use of ex-offenders and community volunteers, while widespread in juvenile probation/parole, has had no significant impact on manpower or workloads.

C. ANALYSIS OF PERSONNEL SYSTEM CHARACTERISTICS

In order to analyze the personnel systems developed for adult and juvenile probation and parole (or aftercare) agencies, interviews with personnel and training officers were conducted at the sample state headquarters. These headquarters personnel and training interviews, supplemented in part by analogous questions posed at the agency level, form the basis of the information presented here.

1. Recruitment, Selection and Assignment of Personnel

a. Probation and Aftercare Services for Youthful Offenders. Traditionally, probation and aftercare services have been viewed as being closely linked to the social work field. As a result, hiring policies for entry-level caseworker positions implicitly carry the professional requirements of a college education. Consistent with this theme, the majority of state headquarters included in the NMS sample that provided information on entry level requirements for aftercare workers reported that bachelor's degrees were the minimum educational requirement. The data provided here only reflect requirements for aftercare workers since these personnel are usually under the administration of state-level headquarters. Juvenile probation officers typically come under the purview of local authorities, and "hard" data or formal requirements for these positions was not collected. However, fragmentary indications from the field indicate that the requirements for probation officers are similar if not identical to those applied to aftercare workers.

State headquarters personnel did not indicate that there had been any significant changes in entry requirements during the last five years. One state did indicate that some changes in entry-level standards were anticipated and focused on the requirement of a specialized degree (e.g., in social work or human service delivery).

Although entry requirements have not been modified, changes in recruiting emphasis have been made. A major development in recruiting and selecting probation/parole workers during the last few years has concerned affirmative action programs. Findings in this area reveal the following:

- Juvenile field service agencies have affirmative action programs
- The net effect of affirmative action programs upon staff morale is quite limited.
- Minorities and females in probation/parole do not appear to have significant limitations placed upon their activities or advancement potential.

All of the juvenile probation/parole/aftercare agencies which provided information about adoption of equal opportunity policies have developed affirmative action programs, with the bulk of attention currently being directed toward hiring and recruiting policies. Thus, in an urban center of one state, the current priority was to hire minorities in at least 50% of new openings for probation officers. In another, more agricultural state, hiring and recruiting emphasis was focused upon female probation agents and the program has now resulted in a staff that is one-third female. In general, parole and probation administrators indicated that their respective programs had significantly increased minority and female representation at the entry level among staff members. Half of the agencies sampled gave indications that affirmative action had been carried over into promotional policies. At one urban agency, for example, the opportunity for advancement of women had been greatly improved and four of six district administrator positions were held by women.

These affirmative action programs were not totally without impact on staff morale; both positive and negative effects were listed by agencies in the sample. In one agency which had experienced some problems, males were somewhat displeased about being supervised by females. Females, however, were

quite favorable regarding the promotion of other females to supervisory positions.

Agencies which evaluated staff morale claimed that there were no restrictions on the positions women or minority group members could hold. The fact that minority members within a group of qualified candidates tend to receive priority in filling new positions was listed as a possible problem.

Agencies. As was the case with entry-level requirements for youth probation/
aftercare workers, a college degree plus one or more years experience appeared
to be necessary for adult caseworker positions in the majority of the responding agencies.

A number of questions were posed regarding recruiting methods, policies, and procedures related to probation/parole officers. Parole and probation/parole headquarters that provided responses to inquiries based their recruitment upon a Civil Service system. Personnel for the position of parole officer were generally hired from outside the system. An alternative mode of hiring, however, was given by one state, which indicated that transfers were a major source of manpower. Recruiting sources for filling parole officer positions which were listed by the headquarters included vocational schools, personnel contacts and other state agencies.

The dominant theme in personnel recruitment for adult agencies clearly revolves around affirmative action programs and their impact. Of the adult probation/parole agencies included in the NMS sample, all had established formal or very effective informal affirmative action programs and policies. These programs were often stimulated by the availability of federal grant

monies and top-level support from state headquarters. An example of the form programs might take was provided by one state, which had an internal affirmative action committee to help identify local qualified minority candidates for openings.

The impact of these programs was fairly well documented; agencies exhibited substantial increases in the number of minorities and women employed as probation/parole caseworkers. For example, in one probation office which used an "informal" affirmative action program and employed one-hundred caseworkers, forty-eight were women and twenty-five were minorities.

The major emphasis of these programs has been upon hiring. One parole office indicated that <u>all</u> forthcoming positions will be filled with minorities and females until parity is reached. In another state, a probation agency's major goal was to have one-third of its staff consist of minority group members.

As was the case within juvenile agencies, there were no identifiable restrictions on the assignments of minorities or females. One adult parole administrator noted that at one time female parole officers had not been permitted to supervise male parolees, but this was no longer the case.

The impact of these programs upon staff morale in most agencies has not been perceptible. As exceptions, the administrator in one agency found that the mix of different cultural groups had not worked out very well, and a probation agency in the same state found that the affirmative action program had improved morale, particularly in terms of developing more positive attitudes among males toward females.

2. Career Development and Promotion Policies

a. <u>Juvenile Probation/Aftercare Agencies</u>. In the course of personnel interviews conducted at state headquarters, a series of questions were

asked regarding formal promotion and advancement policies and the extent to which career ladders have been developed. Career ladders are most important in assessing a personnel system since their existence suggests that considerable serious attention has been given to personal and occupational growth and development of employees.

Within the sample of juvenile corrections headquarters the majority of states had developed formal career ladders for aftercare workers or were currently studying the development of career ladders in corrections. The definition of "career ladders" used here is that of job specifications which outline years of experience, amount of education and training needed for advancement through various levels in the system.

Additional questions focused on factors used to determine promotions among aftercare workers. Of the states which answered these questions, half indicated that supervisor evaluations were used, half indicated that there were promotional examinations, and half relied upon experience in a particular rank. Other factors involved in promotional decision-making were less commonly employed. Educational level, training, and seniority were each used by less than half of the states in determining promotions.

States also specified that there were minimum standards that had to be met before an aftercare worker could be considered for promotion. The most commonly used criteria included type of work experience and the level of education attained.

b. Adult Probation/Parole Agencies. Questions were asked in state correctional headquarters about the nature and existence of formal career ladders for adult parole officers and probation/parole officers. Most of the

states included in the sample had established career ladders, thus recognizing the need for clear-cut career paths to promote the occupational and personal development of personnel.

During headquarters personnel interviews, questions were also asked about the factors and criteria that were used to determine eligibility for promotion. The most commonly considered factors included promotional exams and supervisory evaluations. In a related set of questions, probes were directed at defining minimum standards for promotion. The primary factors here appeared to be level of education and amount of training.

3. Training and Education Policies and Programs

a. <u>Training of Caseworkers in Juvenile Probation/Aftercare Agencies</u>. In order to examine preservice and in-service training of probation and aftercare workers in juvenile corrections, the most relevant data may be derived from training interviews conducted at state headquarters. Because of their organizational structure, state programs only have responsibility for aftercare functions. Therefore, the data on training for probation programs are not included in this analysis. In addition, examination of data gathered at the agency level reveals that no agency-level training was reported for juvenile probation and aftercare programs. The only data available, then, are concerned with juvenile aftercare personnel working under the direction of state headquarters.

Preservice training for one state took the form of thirteen days of orientation while for another state the training consisted of forty hours of introductory instruction for its juvenile parole officers, covering such topics as availability of community resources, crisis intervention techniques and counseling procedures. Headquarters provided a picture of training that was

relatively unstructured and less formalized than training provided other categories of key correctional personnel.

Some states provided indications that they conduct in-service training for caseworkers. Another state had plans to develop an in-service training program for the coming year. The training carried out in these states includes instruction on the legal rights of juveniles and interviewing and report writing procedures.

b. <u>Training of Adult Probation/Parole Officers</u>. The majority of states have developed preservice training for parole/probation officers. As noted earlier, parole and probation functions may or may not be integrated within centralized departments of correction. Where these functions are not integrated, training has become the responsibility of parole and probation commissions on boards of pardons and paroles.

There is considerable variation in the length of preservice training that is offered, ranging from three days to five weeks. All of the states offering training for probation/parole officers provide it on a mandatory basis and appear to concentrate upon treatment issues. Some of the states also address security topics.

The current training that is available appears to represent a substantial improvement over that available five years ago. In over half of the states, training has become more systematic or has been developed from "scratch" when necessary. This trend will apparently continue as illustrated by one state which anticipated a doubling of preservice training expenditures and effort over the next five years.

LEAA funds appear to have played a critical role in these developments during the past few years. While some states do intend to increase efforts in the area of preservice training, the anticipation of federal cutbacks has prompted one state to plan reductions of training in the event that funds dry up.

As in many other areas of corrections, in-service training is considerably less substantial and systematic than preservice training. Only a small number of states had mandatory in-service training programs although in-service training was provided in other states. Training was scheduled for up to forty hours, and encompassed such topics as group dynamics, counseling, crisis intervention, and drug/alcohol abuse.

Like preservice training, in-service programs have developed from groundzero during the past five years and were, in part, dependent upon LEAA funding levels.

4. Labor-Management Relations

The majority of both juvenile and adult probation/parole and aftercare caseworkers are part of state or county Civil Service systems. The available data do not suggest that unions have been able to make extensive inroads with this category of personnel. In the NMS sample of headquarters which administered either adult or juvenile probation/parole programs, probation/parole officers were unionized in very few states.

Unionization is becoming a more significant factor in personnel administration of correctional systems. It might be anticipated that probation/parole components would be among the last elements in the systems to be unionized, since caseworkers are occupationally linked to the social work

profession and less readily inclined to view themselves as sympathetic to union causes. However, given the increasing workload placed upon probation and parole officers (particularly in the adult systems), unionization may come sooner than expected.

Because of the low level of union participation, it is difficult to detect any significant impact of unions upon personnel management and policy with regard to probation/parole/aftercare workers.

5. Most Significant Needs for Personnel System Improvements

As part of the analysis of probation/parole/aftercare manpower and personnel management systems, we have identified a number of areas where improvements are needed. These include the following:

- Present career ladders and occupational classifications do not provide enough flexibility to develop new or more specialized roles in the probation/parole system.
- Most agencies' staff members are buried under paper work.
- Current compensation is often insufficient for retaining qualified probation/parole officers.
- Affirmative action policies have been applied mainly to hiring policies with less attention given to promoting minorities and women once they are onboard.
- a. Improvements in Career Ladders and Occupational Classifications. Since most field agency administrators are confronted with a manpower shortage, one means that has been developed to cope with this staffing problem has been to separate elements of probation/parole officer positions and create new positions and job titles (albeit informally) with new clusters of responsibilities and roles. Present occupational classification systems and career ladders do not take such role innovations into account and some revamping of current systems may soon be in order as changes become more widespread. In juvenile parole/probation, new roles include court liaison, intake specialist

and <u>vocational specialist</u> positions. In addition to these professional changes, the influx of increasing numbers of paraprofessional and clerical staff may create a demand for new job titles and classification to accommodate the new categories of personnel.

- b. <u>Paper Work Blizzard</u>. A common complaint among agency administrators was that they and their staffs were buried under an increasing volume of paper work. In the recent implementation of a management information system in one state, it was made apparent that system designers do not realize the "hidden costs" of innovative administrative systems for line personnel who must assume increased clerical burdens. Clearly, some changes are in order to decrease the load of paperwork and enable caseworkers to more effectively carry out their primary responsibilities.
- c. <u>Current Levels of Compensation</u>. Since many state-employed probation/parole caseworkers leave to take jobs in the federal sector, largely for financial reasons, state agencies ought to give serious attention to comparing their compensation structure with that in use by the Federal Government. This is particularly essential since state agencies bear the financial burden of training and developing these personnel, but then do not receive adequate return on their investment as personnel leave for more lucrative positions with the Federal Government.
- d. Expansion of Affirmative Action Policies. The major thrust of affirmative action programs has been the hiring of minority and female personnel. Serious attention needs to be devoted to expanding these programs to address the promotion and advancement of these staff members so that agencies can retain their services and make effective use of their developing skills. It is clear that more opportunity for females lies in the probation/parole

arena than anywhere else in corrections, since no restrictions need to be placed on their activities as is the case in institutional corrections (e.g., they are able to supervise male offenders in probation and parole, etc.).

6. Conclusions and Findings

The analysis of probation/parole personnel systems permits the following tentative conclusions.

- Both juvenile and adult probation/parole agencies have developed formal affirmative action programs that have increased minority and female representation on staffs.
- Minorities and females in juvenile and adult probation/parole appear not to be restricted in job assignments.
- There have been no apparent adverse effects on probation/parole staff as the result of affirmative action programs.
- For both adult and juvenile probation/parole there has been a dramatic expansion of pre-and in-service training as compared to five years ago. LEAA support has been the major impetus of this expansion.
- The trend is toward making pre-and in-service training for both adult and juvenile probation/parole officers more formal, mandatory, and extensive. Training currently administered varies in quality and scope among states and almost never is evaluated.
- Legal issues and rights of youth are increasingly becoming areas of concern for the training of aftercare workers.
- Unions have not yet made a significant impact on either adult or juvenile probation/parole personnel management or policies.

D. OCCUPATIONAL ANALYSIS OF KEY OCCUPATIONS

The original intent of the National Manpower Survey was to consider four occupations as key occupations—adult parole officer, adult probation officer, juvenile aftercare worker, and juvenile probation officer. The probation/parole occupations were later combined into one category on the basis of job analysts' recommendations who determined that the essential job function characteristics were similar. The fact that some states have unified probation and parole operation under one organizational entity, the small number of separate probation and parole agencies in our sample, and recommendations from juvenile corrections experts also contributed to our decision to combine probation and parole occupations.

Consequently, key occupations discussed in this section consist of adult probation/parole officers and juvenile probation/parole officers.

The objectives of the occupational analysis are to: identify and describe the tasks that key occupation incumbents perform on the job; identify the knowledges and skills required for performing these tasks; assess the potential future task and knowledge/skill requirements and derive training and education implications of the current and future task-knowledge requirements for each key occupation.

The data on which the occupational analyses are based were developed through different stages of refinement following a Functional Job Analysis Model. Briefly, tasks and requisite knowledges and skills were identified and described on the basis of observing and interviewing incumbents and from inputs from experts and our staff specialists. These were incorporated into Task and Knowledge Checklists

corresponding to the two key occupations. The checklists were then used in the field to collect incumbent responses about whether they performed the tasks, the time spent on the tasks, the level of proficiency needed in specific skills and knowledges, where they learned to perform tasks, and how the task could best be learned. This basic task and knowledge requirements information, after review by corrections experts and occupational specialists, provides the data for each of the following occupational analyses. The specific occupational analysis procedures are discussed in more detail in the methodology section of the Appendix.

1. Adult Probation/Parole Officer

The bulk of the occupational analysis data was collected from 43 adult probation/parole officers working in ten states. The median age of these probation/parole (P/P) officers was 32 years, 77 percent were male, 74 percent were white, 19 percent were black, and 7 percent represented other ethnic groups. The median level of education attained by the sample of P/P officers was college graduate plus some graduate course work and they had 5.5 years median experience in corrections.

a. <u>Task and Knowledge Requirements</u>. Nineteen tasks and seventythree specific knowledges and skills describe the essential job requirements
of an adult probation/parole officer. All the knowledges and skills are not
needed for all tasks and different tasks entail various levels of knowledge or
skill proficiency.

The current task and knowledge requirements for the job of adult institutional correctional officer is summarized in the Task-Knowledge matrix presented at the end of this analysis. The cell entries of the matrix indicate the level of proficiency required in the specific knowledges and skills for correctional officers to perform specific tasks.

As presented in the matrix, the 19 essential tasks performed by adult probation/parole officers are:

I.D. Code Task

1. Investigates and verifies by phone, correspondence, interview and observation, probation or parole client's activities and environment to ascertain if legal requirements (of the court or paroling body) are being met

- 2. Interviews client and administers tests to identify and classify client's skills, abilities and interests
- 3. Establishes periodic verbal or personal contact schedule with client on the basis of risk and instructs client on conformance to conditions of probation, parole or incarceration
- 4. Establishes and maintains case file and evaluates information to determine client's progress and needs
- 5. Receives and takes action on complaints against client
- 6. Modifies probation, parole or correctional program in view of client's needs
- 7. Negotiates with client and develops individual treatment program for probationary, parole or corrections client and assists client in implementing program
- 9. Advises and counsels clients, individually or in groups, concerning conditions of probation, parole or incarceration, employment, housing, education, community services, and management of personal affairs to establish realistic and socially acceptable behavior patterns
- 10. Advises and counsels client's family and/or handles complaints on problems in dealing with client
- 11. Prepares recommendations, reports and dispositional plans on clients for Court, Parole Board or Classification Board
- 12. Testifies at judicial proceedings, parole board or committees as expert witness to evaluate client progress
- 13. Conducts preliminary hearings and recommends revocation of probation or parole
- 14. Establishes and develops contact with potential employers of clients
- 15. Contacts and consults with community agencies, individuals and commercial firms to evaluate and establish resources for client treatment and assistance
- 16. Promotes and explains probation, parole or correctional programs to improve public understanding and support of programs
- 17. Coordinates use of citizen volunteers in probation, or parole activities
- 18. Attends meetings, hearings and legal proceedings to gather and exchange information and provide input to decisions regarding clients
- 19. Coordinates information gathering and plans concerning clients among law enforcement/criminal justice agencies, client's family, community agencies and commercial firms
- *20. Develops detailed reports of work activities

^{*}Task numbers relate to the numbers which identify tasks on the Task-Knowledge matrix. During the course of field work and analyses activities, some tasks from original lists have been deleted or combined, which accounts for any missing number(s) above.

The most critical tasks in terms of the percent of incumbent adult probation/
parole officers who reported performing them and the amount of time spent on
them are #3, 4, 6, 9, 10, and 11. These tasks focus on having direct contact
with clients, and in this sense constitute the core of the P/P officer's
responsibilities. In contrast, tasks #2 and 13 are less typically performed.

The 73 different knowledges and skills in the Task-Knowledge matrix have been identified as being necessary for adult probation/parole officers to perform their job. These have been classified under six broad Knowledge Categories as below:

Knowledge Category

- A. Knowledge of the judicial and correctional systems (10 knowledges/skills)
- B. Knowledge of case files and information gathering (8 knowledges/skills).
- C. Knowledge of planning, managing and administering a counseling program (20 knowledges/skills)
- D. Knowledge of theories, principles and techniques of individual and group counseling (10 knowledges/skills)
- E. Knowledge of human personality, dynamics, handicaps, communication, and specialized terminology (15 knowledges/skills).
- F. Ability to organize data, interact with clients and coordinate efforts (10 knowledges/skills).
- b. <u>Training and Education Implications</u>. While the Task-Knowledge matrix describes current job requirements, it does not indicate whether incumbent adult probation/parole officers have received the appropriate training or education or whether their training and/or education was received in the optimal learning setting. Part of the occupational analysis effort generated data relative to these issues.

Three occupational analysis sources provided data for assessing training and education implications, (1) the Task-Knowledge matrix, (2) Task Checklist

summaries which indicate incumbent responses on where they learned how to do specific tasks (i.e., in academic, formal training, or OJT settings) and whether the training received was too little, about right, or too much, and (3) summaries from an equivalent set of incumbents as to where the tasks could best be learned.

Table VIII-VI-5 on the next page, presents the essential information from these three sources for assessing T&E implications. The left portion indicates the percent of specific skills in each Knowledge Category (i.e., A, B, ... F) that is required at a high proficiency level to perform each listed task. The middle portion shows the percent of incumbents indicating where the task can best be learned. The extreme right portion indicates where the majority of incumbents reported they actually learned to perform the task and whether the amount of training was sufficient.

To draw out training and education implications from the occupational analysis data in Table VIII-VI-5, a general multi-step transformation is required. Since the occupational data collected are task-oriented, the first step is to identify what incumbents reported about tasks. The second step is to identify the critical Knowledge Categories related to tasks. This provides general information about knowledge requirements, deficiencies, or training. The third step is to identify the specific knowledges/skills subsumed within Knowledge Categories, which provides more detailed information for suggesting conclusions and recommendations about training needs, deficiencies, and settings. It must be kept in mind that, given our small, nonrepresentative sample of adult probation/parole officers, all of the findings are suggestive only and can best be used by policy makers and training managers for identifying possible training deficiencies and training issues deserving more systematic study.

Table VIII-VI-5
Occupational Summary Data for
Adult Probation-Parole Officers

								THE CT C I		LOLL I	GIOI.
		AC/ FT	FT	FT	AC	AC	FT/ OJT			best lea	
			Kno	wledge	Categ	ory					
	Tasks	A	В	С	D	E	F		AC	FT	OJT
	1	30	50	35	0	13	70		0	33	44
	2	0	50	10	10	20	50		-		_
	3	20	13	20	20	7	50		50	0	50
	4	20	100	20	20	20	20		0	0	75
	5	20	13	40	60	13	70		-	_	_
	6	20	38	65	50	13	40		0	0	75
	7	20	75	50	40	20	60		41	24	12
୍ର 🗸	9	20	50	75	60	27	60	9	22	28	17
VIII	10	0	75	45	30	20	80		-	_	_
ı	11	30	63	65	30	27	40	·	67	11	22
604	12	20	25	20	0	0	50		0	0	100
	13	20	0	45	40	13	50		14	43	43
	14	10	0	30	10	13	10		0	0	0
	15	10	0	30	10	13	40		-	_	-
	16	50	0	0	0	13	30		-	-	_
	17	10	13	30	10	20	10		0	67	33
	18	50	13	35	20	7	40		50	0	50
	19	20	25	25	10	13	40		-	_	-
	*20	.=	-	_	-	-	_]. 	-	-	_
	Average Percent	21%	34%	36%	23%	15%	45%				

Wher	e acti learn	ually ed
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AC = Academic

FT = Formal Training

OJT = On-the-job training

* = added by experts

- = too little

OK = about right

+ = too much

c. <u>Job Training/Education Requirements</u>. The left portion of the Table describes the training/education requirements for adult probation/parole officers, both in terms of training content and where training could best be administered. The column averages indicate the percent of knowledges and skills in each Knowledge Category needed at a high proficiency level for an adult probation/parole officer to perform effectively. This relates to training content. Above each Knowledge Category letter is indicated where the specific knowledges/skills can be learned, as determined by independent ratings of five occupational specialists. For example, the knowledges/skills of category A can best be learned in a combination of academic and formal training settings, category B in a formal training setting, and so forth.

On the basis of percent of specific knowledges and skills which are required at a high level of expertise, the column averages in the Table suggest that Knowledge Categories F (ability to organize data, interact with clients ...), C (knowledge of planning ... counseling program), and B (knowledge of case files ...) are the most critical knowledge areas for adult probation/parole officers. This in turn suggests that training on the specific knowledges and skills corresponding to these same three Knowledge Categories would constitute a crucial requirement for this occupation.

(1) Amount of training. The Table shows that, in the main, adult probation/parole officers indicated that they were getting sufficient training. However, they did perceive a deficiency in training for five tasks. The first such task was task #2 (interviews clients and administers tests ...). Given that the most important knowledge area for performing this task is Knowledge Category F, additional or better training in such topics as how to organize data, relate to reluctant clients and to client families, and how to work and coordinate with others may be needed.

For task #15 (contacts and consults with community agencies ...), the second task judged to have too little training, Knowledge Category F again is the most critical knowledge area needed to perform this task. Additional and better training in the specific topics listed in the above paragraph are suggested.

For task #16 (promotes and explains probation, parole ... programs ...), the most important area is Knowledge Category A. This suggests need for better training in the roles, functions, and laws of the different sectors of the LE/CJ system.

For task #17 (coordinates use of citizen volunteers ...), the critical knowledge area is Knowledge Category C. This implies a possible deficiency in training on how to select, organize, and utilize volunteers, the capabilities of local social service agencies, and how to integrate community resources to match client's needs.

For task #18 (attends meetings, hearings ... to provide input to decisions regarding clients), the most important knowledge area is Knowledge Category A. More or better training in the roles, functions, and laws of the separate components of the LE/CJ system and in parole policies and procedures is suggested.

Overall, Categories A and F seem to be the areas where the biggest training deficit is occurring. Also, all the training deficient tasks except one involve dealing with the public or other elements of the criminal justice system.

(2) <u>Training settings</u>. The Table clearly indicates that incumbent adult probation/parole officers have learned how to perform all their

specific tasks via on-the-job training. However, in terms of where incumbents think the tasks could best be learned, the data suggest that certain tasks might best be learned in academic and/or formal training. There appear to be discrepancies between actual and desired training settings for adult probation/parole officers.

On the basis of our data and considered judgments, the most critical discrepancies seem to be on how and where tasks 7, 9, 11, 13, and 17 are learned. These tasks are seen by incumbents as best learned in formal training and/or academic settings. These tasks generally involve expert levels of either Category B or C or F knowledges which have the following implications:

For Category B, knowledges relating to case files and information gathering can better be taught in formal training settings rather than OJT. For example, specific information about family, social, and behavioral history to include in case files would seem best learned in formal training.

- For Category C, knowledges relating to planning, managing and administering a counseling program can be taught better in a formal training setting. For example, knowledge about developing and assessing client parole/probation plans, client history, patterns of behavior, and determining client needs, abilities, and interests all seem suited for formal training.
 - For Category F, abilities to organize data, interact with clients, and coordinate efforts are best taught in a mix of formal training and OJT settings. For example, how to organize factual data, to clarify issues, and to interview difficult clients can be learned in formal training. Expertise in performing these skills, however, can best be gained in the context of job experience with the aid of supervised OJT. The theory of these abilities would be taught in formal training and the capabilities inculcated by OJT.
- d. Future Task and Knowledge Requirements. One obvious determinant of what adult probation/parole officers will do and need to know in five years is whether they have responsibilities for either probation or parole or for both. A second controlling factor over how probation/parole activities are performed is size of caseload. Evidence gleaned from occupational analysis data, interviews with incumbent adult probation/parole officers, supervisors,

and executives, and input from experts allow us to make some tentative predictions about future task and knowledge requirements.

The probation/parole officer likely will have increased need to meet with the general public, business community, and service organizations to secure jobs and general acceptance of his clients in the community. Better skills and training in public relations, oral communication will be future requirements (Knowledge Category E skills).

Reliance on and use of community resources will continue to increase. The adult probation/parole officer will become a broker of services more and more. Increased and more effective interaction with local public and private social welfare agencies, and the increased use of volunteers will require efficient capabilities. Specific skills needed include the ability to meet and organize volunteers, to know more about the potential and limitations of available service agencies, to develop community resources, and to comply with a myriad of referral procedures to community agencies (Knowledge Category C skills and knowledges).

The core professional responsibility of probation/parole officers will continue to evolve about counseling activities. Some routine and non-casework activities are being assumed by paraprofessionals and volunteers. This trend is likely to continue in the future leaving the probation/parole officer with more time to observe, evaluate and assess clients. There will be increased need for more and better training in, and knowledge about, individual and group counseling, crisis intervention, standardized and individual testing, and financial, personal and family management for clients (Knowledge Category D skills and knowledges).

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8.investigative techniques	aration of	ninal act	medical, social, educational history		3.economic status	behavior patterns	Knowledge of case files and information gathering l.family history	l0.correctional institution operations	9.institution's parole policies, guidelines, procedures	8.laws, rules pertaining to probation and parole functions	·intake operations	6.interrelationship of the components of the system	n probation and p	organization of law enforcement agencies	3.philosophy goals and objectives of parole or probation agency	2.functions of the corrections institution	1.role of the court in the administration of justice	Knowledge of the judicial and correctional systems	Knowledges		Adult Probation - Parole Officer/Caseworker 4 - expert knowledge level 3 - high knowledge level 2 - moderate knowledge level 1 - slight knowledge level
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Concerning conditions of probation, parole or incarceration, employment, housing, education, community services, and management of personal affairs to establishe realistic and socially acceptable behavior patterns of the personal affairs to establishe realistic and socially acceptable behavior patterns of the personal affairs to establishe realistic and socially acceptable behavior patterns of the personal affairs to establishe realistic and socially acceptable behavior patterns of the personal affairs to establishe realistic and socially acceptable behavior patterns of the personal affairs to establishe realistic and socially acceptable behavior patterns and commendations of probation of probation of probation of probation of probation of probation of probation of probation of probation of probation of propares and deposition of probatio		5					3.5	2.5		သ	3.5	ω			ω			ω		1	7.	Negotiates with client and develops individual treat- ment program for probationary, parole or corrections
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18. Attends meetings, hearings and legal proceedings to gather and exchange information and provide input to decisions regarding clients Δ	3						ω		3.5						4			-		1	17.	Coordinates use of citizen volunteers in probation,
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10.client observation, evaluation and assessment	9.client work supervision	8.orientation of clients	7. community assistance facilities and programs	<pre>6.financial, personal and family planning and management for clients</pre>	5.individual and group counseling procedures	4.crisis intervention	3.standardized and individual diagnostic testing	2.literature on modern counseling procedures	l.ability to communicate with clients	Knowledge of theories, principles and techniques of individual counseling	20.referral procedures to community resources	19.institution's administrative procedures	Knowledges	TASK-KNOWLEDGE MATRIX Adult Probation - Parole Officer/Caseworker
			_			-								Investigates and verifies by phone, correspondence, interview and observation; probation or parole client's activities and environment to ascertain if legal requirements (of the court or paroling body) are being met
			-				1		3.5					Interviews client and administers tests to identify and classify client's skills, abilities and interests
		3	2.5	2.5					3.5				3.	Establishes periodic verbal or personal contact schedule with client on the basis of risk and in- structs client on conformance to conditions of proba- tion, parole or incarceration
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			3	<u>υ</u> . ω	3			2.6	4		ω		7.	Negotiates with client and develops individual treat- ment program for probationary, parole or corrections client and assists client in implementing program
			3.5	3.5	3.5			ယ	3.5		ω			Advises/counsels clients, individually or in groups, concerning conditions of probation, parole or incarceration, employment, housing, education, community services, and management of personal affairs to establish realistic and socially acceptable behavior patterns
			ω	3		3					ω			Advises and counsels client's family and/or handles complainants on problems in dealing with client
			3	3	3									Prepares recommendations, reports and dispositional plans on clients for Court, Parole Board or Classification Board
														Testifies at judicial proceedings, parole boards or committees as expert witness to evaluate client progress
ა ა	2.9		3	3						· ·				Conducts preliminary hearings and recommends revocation of probation or parole
			3										١.	Establishes and develops contact with potential employers of clients
			သ										15.	Contacts and consults with community agencies, individuals and commercial firms to evalute and establish resources for client treatment and assistance
													16.	Promotes and explains probation, parole or correctional programs to improve public understanding and support of programs
	2.5		ω	2.5	2.5	2.5							17.	Coordinates use of citizen volunteers in probation, parole activities
2.5			ω		2.9								18.	Attends meetings, hearings and legal proceedings to gather and exchange information and provide input to decisions regarding clients
			ω								2.5			Coordinates information gathering and plans concerning clients among law enforcement/criminal justice agencies, client's family, community agencies and commercial firms Developing detailed reports of work activities

Tasks

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The state of the s	15.ethnic customs and mores	14.public relations	13.basic communication skills	12.case work principles and procedures	ll.problem analysis and definitive procedures	10.physical, emotional, mental handicaps	9.street terminology	8.gang behavior	7.medical terminology	6.alcoholism and drug addiction	5.defenses, neuroses, psychoses	4.aptitudes, interests and motivations	3.group dynamics	2.causes of abnormal behavior	1.personality development	Knowledge of:	Knowledges	TASK-KNOWLEDGE MATRIX Adult Probation - Parole Officer/Caseworker
	2.5	2.7	ω			1.5	2			2		2					1.	Investigates and verifies by phone, correspondence, interview and observation; probation or parole client's activities and environment to ascertain if legal require-
	2		ω			ω	2			2		3					2.	ments (of the court or paroling body) are being met Interviews client and administers tests to identify
	2.5		3.5			2	2			2		5					3.	and classify client's skills, abilities and interests Establishes periodic verbal or personal contact schedule with client on the basis of risk and in- structs client on conformance to conditions of proba- tion, parole or incarceration
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	2		ω	2	2.5	3	2			2.5	2.5	3			•		7.	Negotiates with client and develops individual treat- ment program for probationary, parole or corrections client and assists client in implementing program
	2		3.5	2	2.5	3	2			2	2.5	3			3	•		Advises/counsels clients, individually or in groups, concerning conditions of probation, parole or incarceration, employment, housing, education, community services, and management of personal affairs to establish realistic and socially acceptable behavior patterns
	ω	ω	ω		2.5	2	2			2		2						Advises and counsels client's family and/or handles complainants on problems in dealing with client
	ယ				ω	ယ				2		ω						Prepares recommendations, reports and dispositional plans on clients for Court, Parole Board or Classification Foard
						2				2						-	12.	Testifies at judicial proceedings, parole boards or committees as expert witness to evaluate client progress
					ω	2				2		ω					13.	Conducts preliminary hearings and recommends revocation of probation or parole
	2.5	3.5	3									2					14.	Establishes and develops contact with potential employers of clients
	2	3.5	ω							-							15.	Contacts and consults with community agencies, indi- viduals and commercial firms to evalute and establish resources for client treatment and assistance
	2.5	4	3.5														16.	Promotes and explains probation, parole or correctional programs to improve public understanding and support of programs
	2	ω 5	. 1		•	N	2			2.5		ω	-				17.	Coordinates use of citizen volunteers in probation, parole activities
			ω			2				2		2.5					18.	Attends meetings, hearings and legal proceedings to gather and exchange information and provide input to decisions regarding clients
	2	ယ	ယ															Coordinates information gathering and plans concerning clients among law enforcement/criminal justice agencies, client's family, community agencies and commercial firms
-			! !				1			L		<u> </u>		لريا			20.	Developing detailed reports of work activities

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10.give oral presentations	9.clarify issues	8.coordinate individual efforts with others	7.assess relevancy of information	6.handle interviewees reluctant to talk	5. instill confidence with client and family	4.establish rapport with client	3.grasp feelings of interviewee	2.detect discrepancies in information	l.organize factual data	Ability to:	Knowledges	TASK-KNOWLEDGE MATRIX Adult Probation - Parole Officer/Caseworker III III
	_		ω	3	ω	3.5	ω	3.5	3.7		1.	Investigates and verifies by phone, correspondence, interview and observation; probation or parole client's activities and environment to ascertain if legal requirements (of the court or paroling body) are being met
-	2.5	- 1	ω	ယ	ω	3.5	3.2	2.5	12		2.	Interviews client and administers tests to identify and classify client's skills, abilities and interests
	3.5			3	ω	3	ω				3.	Establishes periodic verbal or personal contact schedule with client on the basis of risk and instructs client on conformance to conditions of proba-
-	2	2.	ω					2	ω		4.	tion, parole or incarceration Establishes and maintains case file and evaluates in-
	3.5	<u>5</u> 1	5 3.5	ω	2	ω		3.5	5 3.5	•		formation to determine client's progress and needs Receives and takes action on complaints against client
	5	ω	-01		2	3.5		ω	ω 		6.	Modifies probation, parole or correctional program in view of client's needs and progress
	ω	ω			2.5	3.5	3.5		3.1		7.	Negotiates with client and develops individual treatment program for probationary, parole or corrections client and assists client in implementing program
	3 3	3	3 3	3	3.5	3.5	ω	2.5 3	3.5			Advises/counsels clients, individually or in groups, concerning conditions of probation, parole or incarceration, employment, housing, education, community services, and management of personal affairs to establish realistic and socially acceptable behavior patterns Advises and counsels client's family and/or handles
-		_						-	-	-		complainants on problems in dealing with client Prepares recommendations, reports and dispositional
	3,5		З					ω	<u> </u>			plans on clients for Court, Parole Board or Classifi- cation Board
4	ω		3					ω	3.5			Testifies at judicial proceedings, parole boards or committees as expert witness to evaluate client progress
	ω		3.5	3.5				3.5	3.5			Conducts preliminary hearings and recommends revocation of probation or parole
3.5	2.5	2.5										Establishes and develops contact with potential employers of clients
3.5	ω	ယ							ω			Contacts and consults with community agencies, indi- viduals and commercial firms to evalute and establish resources for client treatment and assistance
3.5	3								3.5		16.	Promotes and explains probation, parole or correctional programs to improve public understanding and support of programs
	2	ω				ω	-	2			<u> </u>	Coordinates use of citizen volunteers in probation, parole activities
2.5	2.5		3		3.1				3.1	-		Attends meetings, hearings and legal proceedings to gather and exchange information and provide input to decisions regarding clients
2	1.5	3.5	3	2.5			2.5	ω	3.5			Coordinates information gathering and plans concerning clients among law enforcement/criminal justice agencies, client's family, community agencies and commercial firms
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2. Juvenile Probation/Parole Officer

This occupational analysis is based on data obtained from 54 juvenile probation/parole (or aftercare) officers working in nine states. The median age of these probation/parole or aftercare officers (hereafter referred to as P/P officers) was 33 years, 76% were white, 17% black, and 7% other ethnic groups. The median level of education attained was college graduate plus some graduate course work and they had 5.7 years median experience in corrections.

a. <u>Task and Knowledge Requirements</u>. Eighteen tasks and 73 specific skills and knowledges describe the essential job requirements of the juvenile P/P officer. All the knowledges and skills are not needed to perform all tasks and different tasks entail various levels of expertise in the knowledges and skills.

These tasks and knowledges are summarized in the Task-Knowledge matrix presented at the end of this analysis. The cell entries of the matrix indicate the level of proficiency required in the specific knowledges or skills for juvenile P/P officers to perform specific tasks.

As presented in the matrix, the 18 essential tasks performed by juvenile P/P officers are:

I.D. Code Task

- 1. Investigates/verifies by phone, correspondence, interview and observation the probation or parole client's activities and environment to ascertain if legal requirements are being met
- 2. Interviews client to identify client's skills, abilities and interests
- 3. Establishes periodic verbal or personal contact schedule with client and interviews client on conformance to conditions of probation, parole or institutionalization
- 4. Establishes and posts case file and evaluates information to determine client's progress and needs
- 5. Reviews and makes recommendation on complaints received against client

- 6. Modifies probation or parole program in view of client's needs and progress.
- 7. Negotiates and develops individual treatment program for probation and parole client and assists client in implementing program
- 9. Advises clients, individually or in groups, concerning conditions of probation, parole or institutionalization, employment, housing, education, community services, and management of personal affairs to establish realistic and socially acceptable behavior patterns
- 10. Advises and counsels client's family, surrogate parents, or complainants on problems in dealing with client
- 11. Prepares recommendations, reports and dispositional plans on clients for Court, Parole Board or Classification Board
- 12. Testifies at judicial proceedings, parole boards or committees as expert witness to evaluate client progress, and assist in decision making
- 13. Makes recommendations at hearings on revocation of probation or parole
- 14. Establishes and develops contact with potential employers of clients
- 15. Contacts and consults with community agencies, individuals and commercial firms to evaluate and establish resources for client treatment and assistance
- 16. Promotes and explains probation, parole or institutional programs to improve public understanding and support of programs
- 17. Coordinates use of citizen volunteers in probation and parole activities
- 18. Attends meetings, hearings and legal proceedings to gather and exchange information and provide input to decisions regarding clients
- *19. Coordinates information and plans concerning clients among law enforcement/criminal justice agencies, client's family, community agencies and commercial firms

The most critical tasks, in terms of the percent of juvenile probation/
parole officers who reported performing them and the amount of time spent on
them are #3, 4, 9, 10, and 11. These tasks focus on client contact and case
file activities and represent the critical core of responsibility for this job.
In contrast, tasks 2 and 13 are less typically performed. These are either a
function of special assignment or done by supervisors.

^{*}Task numbers relate to the numbers which identify tasks on the Task-Knowledge matrix. During the course of field work and analysis activities, some tasks on original lists have been deleted or combined, which accounts for the missing number(s) above.

The 73 different knowledges and skills from the Task-Knowledge matrix have been identified as being necessary for juvenile probation/parole officers to perform their job. These have been classified under six broad Knowledge Categories as below:

Knowledge Category

- A. Knowledge of the judicial and correctional systems (10 knowledges/skills).
- B. Knowledge of case files and information gathering (8 knowledges/skills).
- C. Knowledge of planning, managing and administering a counseling program (20 knowledges/skills).
- D. Knowledge of theories, principles and techniques of individual and group counseling (10 knowledges/skills).
- E. Knowledge of human personality, dynamics, handicaps, communication, and specialized terminology (15 knowledges/skills).
- F. Ability to organize data, interact with clients and coordinate efforts (10 knowledges/skills).

In summary, the job of juvenile probation/parole officer requires the capabilities to perform 18 major tasks and some level of comprehension of 73 specific knowledge and skill areas, as presented in the Task-Knowledge matrix. In addition, the matrix shows the relationship among specific tasks and specific knowledges/skills and indicates the level of expertise needed to perform effectively. The Task-Knowledge matrix thus depicts current task and knowledge/skill requirements for the juvenile probation/parole officer job.

b. <u>Training and Education Implications</u>. While the Task-Knowledge matrix describes current job requirements, it does not indicate whether incumbent juvenile probation/parole officers have received the appropriate training or education or whether their training and/or education was received in the optimal learning setting. Part of the occupational analysis effort generated data relative to these issues.

Three occupational analysis sources provided data for assessing training and education implications, (1) the Task-Knowledge matrix, (2) Task Checklist summaries which indicate incumbent responses on where they learned how to do specific tasks (i.e., in academic, formal training, or OJT settings) and whether the training received was too little, about right, or too much, and (3) summaries from an equivalent set of incumbents as to where the tasks could best be learned.

Table VIII-VI-6, on the next page, presents the essential information from these three sources for assessing training and education implications. The left portion indicates the percent of specific skills in each Knowledge Category (i.e., A, B, C, D, E, F) that is required at a high level of proficiency to perform each relevant task. The middle portion is the percent of incumbents who indicated where the task can best be learned. The extreme right portion indicates where the majority of incumbents reported they actually learned to perform the task and whether the amount of training was sufficient.

c. <u>Job Training/Education Requirements</u>. Inspection of the left portion of the Table describes the training/education requirements for juvenile probation/parole officers, both in terms of training content and where training could optimally be administered. The column averages indicate the percent of knowledges and skills of each knowledge category that must be comprehended at a high level for a juvenile probation/parole officer to perform effectively. Above each knowledge category letter is indicated where the specific knowledges/skills can best be learned as determined by independent ratings of five occupational specialists. For example, the knowledges/skills of Knowledge Category A can best be learned in a combination of academic and formal training settings, category B in a formal training setting, and so forth.

Table VIII-VI-6
Occupational Summary Data for
Juvenile Probation/Parole Officers

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		AC/ FT	FT	FT	AC	AC	FT/ OJT			best lea	_	
			Kno	wledge	Categ	ory				***		
`]	[asks	A	В	С	D	E	F		AC	FT	OJT	
	1	20	63	25	0	13	60		0	33	44	
_	2	0	13	20	20	13	30		_			
	3	20	13	25	20	63	30		50	0	50	
- S	4	10	75	50	30	0	20		0	0	75	
	5	40	0	15	0	6	0		-	-	_	Ī.
	6	20	0	60	30	0	20		0	0	75]
	7	20	13	45	30	19	50		41	24	12	
ΔI	9	20	0	35	40	13	50		22	28	17	
VIII	10	20	0	0	10	13	20		_	_	_	
1	11	30	13	45	10	13	10		67	11	22	
618	12	30	75	20	0	6	40		0	0	100	
	13	30	75	45	20	6	30	N	14	43	43	
	14	30	75	35	0	6	10		0	0	0	
	15	10	0	30	10	13	20		-	_	-	1
	16	40	0	5	10	13	10	-	_	_	_]
	17	30	0	25	30	19	10		0	67	33]
	18	30	13	45	10	6	50		50	0	50	
	19	20	0	25	10	0	30		-	· -	-	
	Average Percent	22%	23%	29%	15%	12%	26%		-			

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AC = Academic

FT = Formal Training

OJT = On-the-job training

- = too little

OK = about right

+ = too much

The Table data indicate that the single most critical knowledge area for the juvenile P/P officer, on the basis of percent of specific knowledges/skills needed at a high level of expertise, is Knowledge Category C--knowledge of planning, managing, and administering a counseling program. This, in turn, would suggest that training in Knowledge Category C is a critical requirement. Similarly, Knowledge Categories A (knowledge of judicial and correctional systems), B (knowledge of case files and information gathering), and F (ability to organize data . . . coordinate efforts) constitute significant knowledge and training requirements for this occupation.

(1) Amount of training. The Table shows that the juvenile probation/parole officers felt that they were not getting sufficient training to perform six tasks which represents 1/3 of all the tasks. Implications for training of five tasks will be discussed here.

The first such task is task #2 (interviews client to identify client's skills . . .). The most important knowledge area for this task is Category F, suggesting the need for increased training in such specific areas as interviewing techniques, working and coordinating with others, and organizing and assessing information.

A second task judged insufficient in training was task #12 (testifies at judicial proceedings, parole boards . . .). The most important knowledge area for this task is Category B, suggesting the need for specific training in community resource development and how to assess the potential and limitations of local social service agencies.

For task #16 (promotes and explains probation, parole . . . programs . . .)
the most important knowledge area is Category A. Increased and better training in

the philosophy, goals, and objectives of probation and parole, governing laws, policies, and regulations, and the relationship of probation/parole to the LE/CJ system are suggested.

A fifth task judged insufficient in training is task #18 (attends meetings, hearings . . . to provide input to decisions regarding clients). The most important knowledge area for this task is Category F, suggesting a need for better training in organizing relevant factual data, assessing relevancy of information, and giving oral presentations.

(2) <u>Training settings</u>. The Table data show that incumbent juvenile probation/parole officers have learned all their specific tasks via OJT. However, in terms of where the tasks would best be learned, the data suggest that incumbents feel academic and/or formal training are also important.

On the basis of occupational data and our considered judgements, the most critical discrepancies between actual and desired training settings seem to be on how and where tasks 7, 9, 11, 13, and 17 are learned. These tasks are seen by incumbents as best learned in either academic and/or formal training settings. These tasks most often involve expert levels of Knowledge Category C or F knowledges which, therefore, have the following implications:

For Category C, knowledges of planning, managing and administering a counseling program can better be taught in formal training settings rather than by OJT. Formal training would seem most suitable for learning specific knowledges about the development and assessment of individual parole/probation plans, the use of volunteers and community resources in probation and parole, report and correspondence writing, and the identification of individual client needs, abilities, interests.

For Category F, the abilities to organize data, interact with clients and coordinate efforts are better taught in a mix of formal training and OJT settings. Formal training would seem better suited for learning about organizing and assessing relevancy of information and learning



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2. Findings and Conclusions

- The tasks of judge positions are well delineated and will undergo very little change in the near future.
- Time spent on various tasks may shift, particularly in response to public pressure for taking a harder line with criminals.
- Team judging, with cooperative team members, can be highly effective in reducing case backlog.
- Judges reported that law school education provided some foundation for most of the tasks, but indicated that on-the-job training was the primary source of their expertise in most tasks.
- Training of judges (after appointment) is improving and more good state, regional, and national programs are being developed, largely through LEAA support.
- Judicial education cannot be self-supporting.

3. Court Administrator

The survey revealed that functions performed by persons holding the position of court administrator varied greatly. The duties performed by court administrators are dependent upon the individual who performs them and the judge for whom they are performed. Judges, prosecutors, and defenders are remarkably homogeneous positions with respect to the tasks performed in each, making the variations in the court administrator's job all the more noticeable. A study of the judges to whom court administrators report might provide more information on the position than a study of court administrators themselves.

The sample was made up of two individuals who carried the title of court administrator and presumably performed most of the functions that one might expect an incumbent in such a position to perform, and six individuals who performed many of the tasks of the court administrator although they carried lesser titles, such as Court Coordinator. The second group had often been promoted through the ranks, starting as secretaries or legal secretaries, and differed from court administrators both in range of function and in the identification with only a single court. Law enforcement, courts, and corrections teams all visited the same states, and generally the same cities; cities were not specially selected as those with bona fide court administrators. Consultants felt the sample, with its distribution of two genuine court administrators and six quasi-court administrators, was quite representative of the situation nationwide.

The list of tasks that was developed for the task checklist was based upon analysis of the true court administrator position and thus includes the full

range of tasks. Table VIII-VII-8 shows these tasks and the frequency with which they are performed. Since the remaining data collected on this form were usually based on only two or three cases, they were not included because of the instability of the statistics for such a small number of cases. The column labeled "Percent Performing the Task," however, is based on the eight cases—the true administrators plus the quasi-administrators.

a. Tasks

Task 1. Analyzes the court system's fiscal needs, by reviewing budget requests of program and system managers, interviewing and consulting with judicial and nonjudicial personnel, comparing estimated costs with past authorizations and expenditures, coordinating with budget operations of other related agencies, and negotiating with funding agencies, using knowledge and experience in order to prepare, present, and justify the judicial system budget. Performed by 62% of the respondents.

The court administrator normally collects the figures for preparation of the budget and may prepare the budget himself. The task is normally done under fairly close supervision of the presiding judge, however. According to consultants, this task will remain the same because the budget requires preparation annually. In large metropolitan areas there will probably be, if there is not already, a need for a person with knowledge of professional budgets beyond what would normally be considered qualifying for a court administrator. A number of states are adopting state court-administered systems with the result that a trial court coordinator may only provide information to the state court administrator who then presents a total state budget. In any case, there will be a need for some budget expertise on both state and trial court levels, whether it is from the court administrator or from the judge himself.

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Table VIII-VII-8

Summary of Responses to Task Checklist--Court Administrator

ASK ST	ATEMENTS	% Who do task
1.	Analyzes the court system's fiscal needs in order to prepare, present, and justify the judicial system budget.	62.
2.	Testifies as a representative of the judicial system at budget hearings	50.
3.	Supervises and monitors the fiscal administration of the judicial system.	62.
4.	Compiles and collects information about judicial system operations to evaluate and plan for effective management of the court system.	100.
5.	Solicits sources for additional funds to supplement regular appropriations.	50.
6.	Evaluates the performances, practices, and procedures of the judicial system	100.
7.	Develops or modifies plans and procedures of judicial system to accomodate new developments or observed deficiencies.	100.
8.	Designs and supervises special projects or feasibility studies for the judicial system.	100.
9.	Supervises the day-to-day operations of the judicial system	87.
10.	Supervises non-judicial personnel system for the court system.	87.
11.	Coordinates court reporter, special project and support services for judicial system.	62
12.	Manages petty and grand jury systems for the court.	25
13.	Coordinates space management and planning.	62.
14.	Manages the court's caseflow and case inventory control.	87
15.	Coordinates the collection of information about the judicial system and court operations in order to prepare reports and disseminate information for the court internal staff, special groups such as the bar, and the public as necessary	87.
16.	Prepares reports and/or testimony on impending legislation or proposed rule changes believed to have impact on the court system.	50.
17.	Communicates with internal staff, community and external groups, media representatives, educational and political organizations, bar associations, and others.	100
18.	Prepares professional articles and speeches.	75.
19.	Responds to questions and problems identified or complaints filed by court personnel, persons having business with the court, and citizens.	100.
20.	Meets with judges, judicial councils, bar associations, etc., on a regularly scheduled basis or as requested to give and receive information and guidance.	75.

Scale for Amount of Time Spent on Task:

- 1 = A very small amount of time
- 2 = A moderate amount of time
- 3 = A considerable amount of time

Task 2. Testifies as a representative of the judicial system or assists the presiding judge at budget hearings on items affecting the operations of the court, by presenting and justifying requests for funds, answering questions, using data supportive of systems needs, and own knowledge and experience, in order to assure that necessary appropriations are received to support system's annual objectives and long-range goals. Performed by 50% of the respondents.

The presentation of the budget is usually given by a judge although it may be done by the court administrator. In any case, the court administrator is available at the hearings for information the judge might need in order to answer questions. This task and the first task may be taking more time now because of the necessity for making dollars stretch to cover activities. These two tasks take a considerable amount of the court administrator's time during the weeks when the budget is being prepared and justified. During the rest of the year this task requires relatively little activity.

Task 3. Supervises and monitors the fiscal administration of the judicial system, by developing or implementing procedures and controls of income and expenditures, using knowledge of budget allocations from various sources, relating monies to program need, applying principles of budget management, and properly coordinating efforts with judicial and nonjudicial employees, in order to provide effective and efficient fiscal management for the judicial system served. Performed by 62% of the respondents.

This task is normally the responsibility of the court administrator and probably will not change unless the whole system of government changes. As problems become more sophisticated, there will be increased use of the

computer. The use of computers depends, of course, upon the size of the account, the availability of computer personnel, and the willingness of the court administrator or his presiding judge to use technological advances. Large metropolitan areas will probably get budget officers to handle fiscal administration problems, so that the court administrator will only be tangentially involved in this function. In small municipalities where there is no court administrator, the municipality's budget office probably will perform this task.

Task 4. Solicits sources for additional funds to supplement regular appropriations, by writing proposals, negotiating with funding agencies, and seeking support as necessary, using knowledge of system needs and potential grantors, in order to obtain financial support for projects, programs, or personnel not supported by system maintenance appropriations. Performed

Administrative personnel at all levels indicated that they perform this task, although the level at which it is performed varies widely. Some of the court coordinators described this function as maintaining the case files, informing the judge of the cases on the docket, and essentially performing duties that one might normally associate with a legal secretary's job. In larger courts the court administrator is more involved in overall operations, evaluation, and planning of effective management procedures. Courts are just now developing planning efforts, and consultants felt that the court administrator position must either concern itself less with maintaining the status quo, or the court should acquire a court planner to perform this function.

by 100% of the respondents.

Task 5. Compiles information about judicial system operations, by collecting case flow statistics, court data, and requesting reports and recommendations related to management of subsystem components, in order to collect all information necessary to evaluate and plan for effective management of the court system. Performed by 50% of the respondents.

The money needed to operate the courts basically comes from appropriations. This task involved finding special money, such as that provided by LEAA, for special projects. Consultants felt the courts should not be required to find their own money. If a project is worth doing, someone else should be responsible for finding the money after the court has determined the need. Consultants suggested that perhaps this should be done at the state level; the state planner could perform the function. This would be in keeping with the current trend toward more centralized control of state courts. Obtaining LEAA money presents a problem mentioned by consultants in all court positions and also by some people interviewed in the field. There is a long lead time, many forms have to be filled out on a monthly basis (some more frequently), and grants take a great deal of participant's time. Local jurisdictions do not like to get involved in these procedures. It should be noted, however, that courts have generally leaned less heavily on LEAA than have the law enforcement and corrections areas.

Task 6. Evaluates the performances, practices, and procedures of the judicial system, by reviewing statistics, analyzing case flow, and data of system component operations, consulting with judges, the judicial council, system managers and others in order to determine what plans and modifications to the system are needed to promote effective and efficient administration.

Performed by 100% of the respondents.

There may be a misunderstanding on what this task entails because court coordinators are not likely to have a responsibility for evaluating the judicial system. Court administrators may at least provide information to the judge, but there is no doubt that the presiding judge is the one who makes the decisions in this area. The public which is dissatisfied with the current judicial system, would like to streamline the system, to relieve incompetent judges of their duties, and to insure that judges are spending an appropriate amount of time on their judicial duties. There is a wide range of authority given to court administrators relative to this task. In some states, for example, the court administrator may issue orders to move elected judges who volunteered to change to other jurisdictions. Normally, however, this is a task in which a court administrator only provides information to the presiding judge who makes the decisions.

Task 7. Develops or modifies plans and procedures of judicial system to accommodate new developments or observed deficiencies, using data compiled about court operations and evaluations and analysis of present performance, practices, and procedures, using knowledge of the system and available resources, in order to better meet the goals of the system. Performed by 100% of the respondents.

The role of the court administrator in this task is to provide information to the presiding judge along with suggestions on how to accommodate new decisions made by other bodies which affect the operation of the court.

Consultants pointed out that the court administrator must support the court, but "he must keep his nose out of it."

Task 8. Designs and manages special projects or feasibility studies for the judicial system, using knowledge of court problems, staff capability, and anticipated needs, consulting with judicial and non-judicial personnel, in order to be innovative and effective in implementing judicial system goals. Performed by 100% of the respondents.

The role of the court administrator is to gather data needed by the court for new projects or feasibility studies. The range and depth of the responsibility in this task depend upon the role the individual court administrator has made for himself in the court. Consultants predicted that there might be a tremendous increase in this function where it is permitted by the presiding judge. Where the presiding judge prefers to perform the task himself, an increase in task time for administrators is ruled out, but the need is growing and the amount of time spent doing this is expected to increase whether it is performed by the judge, by the court administrator, or by other specialized personnel.

Task 9. Supervises the day-to-day operations of the judicial system, by coordinating the administrative and office functions of the court, meeting with judicial personnel, staff division managers, and others, adjusting work schedules, making task assignments, etc., using knowledge of sound principles of management in order to insure effective and efficient court operations. Performed by 88% of the respondents.

Since this is a task that must be done, it is surprising that only 88% of the respondents reported doing it. It may be that a couple of the court administrators were of a sufficiently high level that subordinate personnel actually performed the day-to-day supervision, while court administrators or court coordinators with less responsibility performed this task themselves. Over the next five years, this task is not expected to decrease or increase in importance or time spent.

Task 10. Manages the non-judicial personnel system for the court system served, by supervising and monitoring the recruitment of candidates for employment, setting forth policies and procedures for employment practices, evaluating performance, conferring with senior judicial personnel, determining and developing training needs, using knowledge of the judicial system and its needs, union problems, and principles of personnel management, in order to insure efficient and effective personnel to the judicial court system. Performed by 88% of the respondents.

Like Task 9, this task may not be performed by court administrators in large jurisdictions, but by personnel officers. In smaller courts the court administrator himself may do it. Where there is a civil service system, there is a good deal of need for this type of supervision. The trend toward state merit systems and unionization of personnel may cause more problems in this area; the task is expected to expand somewhat whether performed by court administrators or by personnel officers who may report to court administrators.

Task 11. Coordinates court reporter, special project and support services for the judicial system by receiving requests for assistance, procurring personnel and supplies, contracting for services, negotiating with suppliers, using knowledge and experience in order to insure support services are provided to promote effective system operations. Performed by 62% of the respondents.

This is essentially a logistics function that will not disappear and may even increase as courts become more complex. In a number of jurisdictions many problems are associated with the court reporter system. Many of these are outside the court, where court reporters are unionized, and create problems requiring a great deal of time and attention from the court reporter or other personnel in the system.

Task 12. Manages petty and grand jury systems for the court, by analyzing needs, overseeing operations, coordinating juries with court calendar, making sure notices are sent, jurors screened and paid, and oriented as necessary, using knowledge of system practices, procedures and need in order to provide jury panels for the court. Performed by 25% of the respondents.

Consultants felt that this task would increase in importance. The courts are now studying jury systems because the they have learned that money can be saved through a more efficient system, and that jurors have often been mistreated under old systems. For example, jurors are underpaid; not given proper information; and often held waiting for hours, days, or possibly weeks. Jury rooms often leave much to be desired in the way of even ordinary amenities. Working to improve conditions for jurors is a good and safe area of activity for even the least innovative courts and almost anything that is done to help the jurors will bring good publicity. It is expected that there will be more of this in the future. Selection of jurors is, however, not the court administrator's function.

Task 13. Coordinates space management and planning for the judicial system and its facilities, by analyzing and evaluating needs and priorities, consulting with judges, staff, planners, space consultants, architects, outside groups, etc., considering cost in light of present and future fiscal limitations, using his skill and knowledge, in order to provide facilities which support the effective functioning of the judicial system. Performed by 62% of the respondents.

Some court administrators, faced with extraordinary space problems and crowding, spend a large proportion of their time at this task. This study was conducted during a period of economic recession in which money to enlarge space allotted to the courts was not easy to obtain, so administrators were required to maneuver within the structural limitations of available space. Consultants

felt that the court administrator should not spend a great deal of time at this, and that many may do so because it is an enjoyable task. Apparently there is free help available; either the court administrators do not know about this help or do not want to use it because of their own interest in the task. Such assistance may come through the state, technical aid, or the clearinghouse. Large local jurisdictions also have architects or space planners on the staff who may be available to the court, and who can perform this task in conjunction with, or independent of, the court administrator.

Task 14. Manages the court's caseflow and case inventory control; by keeping records and case files current, making assignments as required by the chief judge or judicial council, insuring parties and participants are properly notified, etc., in order to insure that the business of the court is handled in an efficient and timely manner. Performed by 88% of the respondents.

This is a necessary wask and it will continue to be performed by someone else if not by the court administrator. Consultants felt that time spent on this task is likely to increase over the next few years, partly because of speedy trial rules and partly because state court administrators are starting to track cases statewide, which requires input from local court administrators or quasi-administrators. State needs will thus impose additional requirements for information from the system.

Task 15. Coordinates the collection of information about the judicial system and court operations, by requesting statistical, caseflow and cost data, ordering studies be conducted, and gathering all relevant material, in order to prepare reports and disseminate information for the court internal staff, special groups such as the bar, and the public as necessary. Performed by 88% of the respondents.

This task has been performed for a long time though it may or may not be performed by the court administrator. As public dissatisfaction with the court system and the revolving door justice increases, the need for this task will increase, particularly in direct dealings with the public as opposed to internal staff and special groups such as the bar. The court administrator's role may simply be an area of finding speakers since the public will probably want to hear from judges, prosecutors, or defenders rather than from court administrators. The court administrators will probably continue to be in charge of arrangements for such functions.

Task 16. Prepares reports or testimony on impending legislation or proposed rule changes believed to have impact on the court system upon request or on own initiative, using his knowledge of present practices and procedures, and conducting additional research as necessary, in order to support or oppose changes affecting the operation and best interests of the court. Performed by 50% of the respondents.

This task includes monitoring activities of the house and senate judicial committees as well as providing information on costs, ramifications and likely results of various types of legislations. Usually, the court coordinator provides the information through the presiding judge who does the actual lobbying, primarily because the judge makes a greater impression than the court administrator on individuals the court needs to reach. Consultants felt that this task may increase, particularly if state legislatures respond to the public outcry on crime by drawing new legislation.

Task 17. Communicates with internal staff, community and external groups, media representatives, educational and political organizations, bar associations, and others at his own or their request, by issuing statements, lecturing, answering questions, writing letters, etc., using knowledge of the court's operations,

goals and objectives, in order to provide information and present a favorable image of court operations. Performed by 100% of the respondents.

100% of the respondents probably communicate with internal staff, but it is unlikely that some of the court coordinators had any dealings outside the court, except on an informal and personal basis. This is essentially a public relations task and there will be a need for more of it, but the personality of the court administrator or his judge will determine who does it. In large jurisdictions there may be an individual employee whose responsibility is public relations. Since the court administrator does not make policy, his role in public relations is in answering questions and describing the administration or operation of the court. He may supply information of this type to special community groups, such as the court watchers who have appeared in a number of jurisdictions, or other interested public groups. Consultants felt this task will increase because of greater litigation or accountability demands being made by the public in connection with crime reduction.

Task 18. Prepares professional articles and speeches, by conducting research, evaluating data, etc., using own knowledge of system problems, trends, growth, needs, successes and failures of LE/CJ experiments, etc., in order to advance knowledge and understanding of a given subject to improve the criminal justice system. Performed by 75% of the respondents.

As with many of the response percentages, the 75% for this task is questionable. Preparation of professional articles to some persons and in some instances may simply mean typing, editing, and putting the speech in final form. However, courts have come to believe that there is a need for communication, and articles and speeches are a noncontroversial way to present the court's position. Court administrators may sometimes prepare articles in which the judge's name appears as author, primarily because he carries more clout both

outside and within the system. Consultants felt there should be more of this, because there is public misunderstanding and confusion of what the roles are and what constraints affect the courts within the LE/CJ system.

Task 19. Responds to questions and problems identified or complaints filed by court personnel, persons having business with the court, and citizens such as excessive noise, lack of adequate parking, etc., using knowledge and judgment of what is feasible within the budget, environment and court system, in order to remove legitimate encumberances to the efficient operations of the judicial system. Performed by 100% of the respondents.

This is a necessary task that has always existed and always will exist in some form. The nature of the question normally determines who can provide the answer. Consultants felt that in very large jurisdictions a position (perhaps called expediter) might be added in the future to take over the function described in this task.

Task 20. Meets with judges, judicial councils, bar associations, etc., on a regularly scheduled basis or as requested, answering questions, providing information, making recommendations, by using knowledge of the court system and its operations, in order to insure that the needs of the judiciary and associated groups are adequately met. Performed by 75% of the respondents.

Like Task 19, this is a necessary task that must be performed, whether it is done on an informal basis or through formal requests from the various individuals or groups requesting information or guidance.

Consultants agree that these tasks generally cover the range of court administrator functions, and any increase will be one of adding time or concentration to present tasks rather than adding new tasks. Where a task is now performed by someone else, it may eventually fall to the court administrator

if he has a good working relationship with the court. As indicated earlier, which of the above tasks is actually performed by the judge and which by the court administrator is often dependent on personalities of the two and interaction between them. Some possible changes in the total job were suggested by the consultants. One of these might be an increased need for more sophisticated information system involving use of the computer, which would require the court administrator to at least understand the concepts related to programming and computer operation. Another area in which consultants saw the possibility of change is development of audio-visual techniques and graphics to be used by the courts in training and in the courtroom. Courts today have made relatively little use of new advances and technology, but it is thought that this will change in the future, partly because the work load will require it and partly because acceptance of technological innovations is growing.

A final task that the consultants thought might be added to the job of court administrator is developing in-house training programs for the staff, such as judicial seminars, mid-level management training sessions, and training or education programs for new judges.

b. Training Implications. The background and training of court administrators is varied, though court administrators are most frequently lawyers. This seems to be a preference of judges who tend to be somewhat less trusting of non-lawyers. Some outstanding court administrators with non-law backgrounds have helped to change the attitude held by many judges that court administrators must have a legal background. When court administrators were interviewed during the development of the Task Checklist forms and Knowledge forms, and during the survey itself, they were asked that the best training was for persone wanting to become court administrators. The answer reflected the educational background of the

interviewee: a court administrator who had a B.A. in economics and a law degree would claim this type of background was necessary. Court administrators who were lawyers felt this type of professional background was absolutely essential to competent performance. Court administrators with degrees in business management or other areas did not feel that legal training was a requirement, presumably since they are able to function without this.

O

Probably the most essential characteristic of successful court administrators is the ability to satisfy the needs of the presiding judge. The ideal court administrator is involved in keeping the day-to-day acitivities of the court moving, and at the same time, is able to stand back to objectively evaluate the effectiveness of the system. As the job becomes more professionalized, and judges become more willing to give up some management functions, the court administrator position will more closely approximate that described in the American Judicature Society's monograph on Court Administration. 10

Finally, pointed out by the consultants, the court administrator need not be a specialist in each of the tasks described. He may not be able to do everything from fixing the judge's broken door to writing a computer program for a new computerized budget system. Rather, he must know his resources and how to use them.

The knowledge profiles for the capable and neophyte court administrators are shown in Table VIII-9. These data should be viewed with caution, however, since they are based upon reports of only two court administrators, one of which was a lawyer. Non-lawyers would probably not indicate that such a high level of expertise is needed in the legal knowledges listed. The court administrators agreed that the list was sufficiently comprehensive.

Table VIII-VII-9 Summary of Responses to Knowledge Checklist--Court Administrator

		JOB REQUIREMENT Level required for capable performance						T: PROFICIENCY: Level of typical newly assigned personnel							
A. Kn	owledge of the judicial system	Median Rank Median													
1.	role of the court in the administration of justiceall tasks*	E	₽H	M	5	N	E	Н	Ne	S	N				
2.	court organizations and functions	E	Н	М	S	N	E	Н	M	s	N	ļ			
	interrelationship of the courts to other components of the system	E	14	М	S	N	Ε	Н	M	s	N				
4.	role of law enforcement	Ε	Н	*	S	N	E	Н	М	S	N				
5.	role of prosecutors, defenders	E	Н	18	S	N	Е	Н	×	S	N				
6.	the corrections process/probation function	E	Н	N	S	N	E	Н	М	1	N				
7.	the adversary process	E	Н	N	S	N	E	Н	M	s	N				
8.	the jury function	E	K	M	S	N	E	Н	M	S	N				
9.	the juvenile justice system	E	Н		S	N	E	Н	M	S	N				
10.	rules, statutes, code affecting court operations	E	H	М	S	N	E	Н	М	/ s	N				
11.	criminal law and procedure	E	н	М	S	N.	E	Н	M	S	N				
B. Kn	owledge of internal rules and procedures					: "									
1.	court rules i, 2, 3, 6, 9, 10, 11, 12, 16, 19, 20	E	Н	М	S	N	E	Н	M	s	N				
2.	appropriate forms 	E	H)	T M	S	N	E	Н	M	S	N	: .			
	procedures related to:														
	3. traffic	Ε	Н	M	S	N	Ε	Н	M	S	N				
	4. domestic relations	Ε	Н	Y	S	N	E	Н	M	S	N	1			
	5. guardianship , 2, 3, 4, 6, 7, 8, 9, 10, 11, 14, 16, 19	Ε	Н	M	• S	N	Е	Н	M	À	N	† ††.:			
	6. juvenile matters 1, 2, 3, 4, 6, 7, 8, 9, 10, 11, 14, 16, 19	Ε	Н	M	S	N	Е	Н	M	S	N				
	7. functions of the clerk's office 1,2,3,4,6,7,8,9,10,11,14,16,19	Ε	H	M	S	N	E	н	М	\$	N	; 5; }			

^{*}Numbers indicate tasks for which knowledge is required. VIII - 720

JOB REQUIREMENT: PROFICIENCY: Level required Level of typical for capable newly assigned performance personnel Moderate Moderat Slight · Expert 1 STight · Expert 1444 · High None · None C. Knowledge of case-flow management E E М S Н •M S N Н N E S S N Ε Н Н M Ν Ε S N Ε Н M N Н 4. calendaring 1, 4, 6, 7, 8, 9, 10, 11, 13, 14, 15, 19 E S E Н S N Н N 5. utilization of computers, ADP systems S Ε S Ε N Н Н M N D. Knowledge of personnel management 1. rules and practices governing personnel Ε S Ε Μ. S N M N Н H2. unionization/collective bargaining S Ε Н М N Ε Н М N 3. career progression 1, 2, 3, 4, 6, 9, 10, 17, 19 E N Ε S М Н Μ N Н 4. job descriptions/analysis Ε S E S Ň M N Н Н E S Ε S 5. evaluation 1, 2, 3, 4, 6, 9, 10, 17, 19 N Н N 6. training needs and practices 1, 2, 3, 4, 6, 9, 10, 17, 19 Ε S N Ε N Н M E S 7. affirmative action programs/EEOC 1,2,3,4,6,9,10,17,19 Н М N Ε Н M N 8. personnel motivation Ε S Ε S M N Н N M 1, 2, 3, 4, 6, 9, 10, 17, 19 systems and classification (pay)
 1,2,3,4,6,9,10,17,19 Ε Н M S N E Н S MP N E. Knowledge of fiscal management funding sources, resources-local, state, Н M S S E N Ε H N federal 1, 2, 3, 5, 13, 20 E H М S N E Н M S N S E S M N E N H 4. budget preparation, justification E S S Ε Н M N Н N 5. maintenance of internal fiscal administration 1,2,3,5,13,20 E S S H Н N

Emile.

^{*}Numbers indicate tasks for which knowledge is required.

ЈОВ REQUIREMENT: PROFICIENCY: Level required Level of typical newly assigned for capable performance personnel (Moderate) Moderate Slight Sight Expert High \ H194 6. accounting and auditing systems ______I, 2, 3, 5, 13, 20 Ε S Н N 7. payroll systems for employees S E S N Ε Н M N Н 8. disbursement practices S S E Н M N Ε М N H 1, 2, 3, 5, 13, 20 9. appropriate records and forms $\frac{1, 2, 3, 5, 13, 20}{}$ Ş N S E Н M E Н N contract services S M S N Ė H M N Ε Н 1, 2, 3, 5, 13, 20 F. Knowledge of space and facility management 1. space needs and room assignments Ε M S N Ε H M S N Н space design S E N E M N H H 1, 2, 4, 7, 13 local codes and zoning E S E Н M N Н N 3 1, 2, 4, 7, 13 building and courtroom security S E M N Ε М N H G. Knowledge of jury management requirements of the system for juries E S N Ē Н M S N М 1, 2, 4, 6, 7, 8, 9, 12, 14, 20 2. rules related to notice, qualifications S S E N Н E N Н 1, 2, 4, 6, 7, 8, 9, 12, 14, 20 excusing jurors S N E S N Ε H M Н M 1, 2, 4, 6, 7, 8, 9, 12, 14,20 4. orientation N E Н M N Ė Н M 1, 2, 4, 6, 7, 8, 9, 12, 14, 20 5. pay system for jurors E M S N Ē Μ S N Н Н 1, 2, 4, 6, 7, 8, 9, 12, 14, 20 6. accommodations, space, food, transportation, E S S Н N E H N 1, 2, 4, 6, 7, 8, 9, 12, 14, 20 rules related to sequestration, security E S S N Η M E H. M 1, 2, 4, 6, 7, 8, 9, 12, 14, 20 H. Knowledge of support service management needs assessment S E H E M S N 1, 2, 4, 6, 9, 11, 13, 14, 20 2. procurement, distribution, inventory E S H S N E H M N 1, 2, 4, 6, 9, 11, 13, 14, 20 various support service resources, e.g., S E S N ΗÅ M H E court reporters, duplication facilities, etc. 1, 2, 4, 6, 9, 11, 13, 14, 20

^{*}Numbers indicate tasks for which knowledgw is required.

					Leve	QUIF	OB REME	PROFICIENCY Level of typica							
					for capable performance					newly assigned personnel					
					\$ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \	Slicerate	None None	<u> </u>	Fig.	Mode	Sligh	None	/پایا		
	4.	equipment utilization 1, 2, 4, 6, 9, 11, 13, 14, 20	E	H	PM	S	/ > N	E	/ / ₹	M	S	N			
	5.	care, maintenance 	Е	Н	М	S	N	E	Н	М	1	N			
ī.	Kno	owledge of planning and evaluation													
	1.	goals and objectives 1, 2, 3, 4, 5, 6, 7, 8, 9, 13, 14, 16, 18, 20	E	Н	М	S	N	Ε	Н	M,	S	N			
	2.	current literature 1, 3, 4, 6, 7, 8, 9, 13, 14, 16, 18, 20	E	H	M	s	N	E	Н	M	S	N			
	3.	needs analysis 	E	14	M	S	N	E	Н	N	S	N			
	4.	recent trends and innovations 1, 2, 3, 4, 5, 6, 7, 8, 9, 13, 14, 15, 16, 18, 20	E.	H	М	S	N	E	Н	Μ\	S	N			
	5.	proposal writing 1, 3, 4, 5, 6, 7, 8, 9, 13, 14, 16	E	Н	M	S	N	E	H	М	, S	N			
	6.	information compilation 	E	*	М	S	N	E	Н		S	N			
	7.	performance evaluation 1, 3, 4, 6, 7, 8, 9, 13, 14, 16	E	4	M	s	N	E	Н	M)	• S	N			
	8.	systems analysis 	E	(H)	M	S	N	E	Н	Ŋ	S	N			
J.	Kno	owledge of systems management													
	1.	instructing employees 3,4,6,7,10,17	E	4	М	S	N	Ε	Н	M	S	N			
	2.	managing system components 3, 8, 9, 10, 14	E	*	М	S	N	E	Н	M	S	N			
	3.	communicating with outside groups 	E	н)	M	S	N	E	Н	М	S	N			
	4.	communicating with judicial personnel 3, 4, 6, 7, 8, 9, 10, 14, 15, 16, 17, 18, 19, 20	E	H	М	S	N	E	Н	М	\$	N			
	5.	dealing with the media	Ε	H	M	S	N	E	Н	M	الخر	N			
	6.	report and memo writing 3, 4, 6, 7, 8, 9, 10, 14, 15, 16, 17, 18, 19, 20	Ε	*	М	S	N	E	Н	M	S	N			
	7.	conducting staff meetings 3, 4, 6, 7, 8, 9, 10, 14, 15, 16, 17, 18, 19, 20	Ε	н	М	S	N	E	Н	M	S	N			
K.	0t	her				-									
	1.	research principles 	E	Н	М	S	N	Ε	Н	M	s	N			
	2.	statistics 	Е	Н	М	S	N	E	Н	M	S	N			
	3.	public relations 2, 4, 6, 8, 15, 16, 17, 18, 20	Ε	Н	M	s	N	E	Н	Y	s	N			
	4.	drafting (rules, legislation, etc.)	E	Н	M	S	N	Ε	Н	M	8	N			
		VIII - 723			:										

4. Findings and Conclusions

- The court administrator is fairly new and is expected to expand in the near future.
- The list of tasks compiled for this project reflects all functions a court administrator <u>might</u> perform, but the presiding judge usually determines which tasks he <u>will</u> perform.
- Legal education is not a requirement for the position, though many judges prefer court administrators to be lawyers.
- The court administrator need not know the details of all tasks to be performed, but he must be able to effectively coordinate the use of experts, e.g., budget analysts, architects, computer specialists, etc.

E. ANALYSIS OF SIGNIFICANT TRENDS OR INNOVATIONS AFFECTING FUTURE AGENCY MANPOWER NEEDS

Two of the major objectives throughout the course of this study were to identify significant trends or innovations affecting criminal justice man-power training and education and to measure the current and expected future impact these trends might have upon agency and system needs.

Current literature, annual reports and special studies were first reviewed to identify possible trends. Lists were compiled and studied by teams of consultants. In addition, national associations in appropriate topical and occupational areas were asked to review selected topics for refinement and final selection. Those activities or topics finally chosen were addressed by field survey data collection efforts in two ways. The primary method utilized was through the development of an activity checklist which contained 13 potential organizational, functional, training or educational trends. The activities have already been tried on an experimental basis in some agencies. In others, they are currently in practice, or are under consideration or scheduled for implementation in the future. On the scale exhibited in Figure VIII-VII-1, respondents (who were typically chief executives of agencies) were asked to rate each activity. Additionally, to measure projected manpower implications, respondents were asked to rate probable changes in these activities over the next five years using the scale pictured in Figure VIII-VII-2.

- 1 = Yes. Will definitely continue to do this.
- 2 = Yes. Will continue to do this if funds are available.
- 3 = Yes, but uncertain whether we will continue to do this.
- 4 = Not yet, but plan to do this in the near future.
- 5 = No. Would like to do this but have not been able to.
- 6 = No. No plans to do this. Uncertain of the value.
- 7 = No. Have tried it and dropped it.
- 8 = No. It is not suitable here.
- 9 = Don't know anything about it.

Figure VIII-VII-1. Scale utilized to indicate status of activities in judicial process agencies.

- +3 = Increased activity will be <u>dramatically more</u> than it is now.
- +2 = Increased activity will be <u>somewhat more</u> than the increase in workload.
- +1 = Increased activity will be proportional to workload increases.
- 0 = No increase in activity of this type is expected, even if the workload increases.
- -1 = There will be a mild decrease in activity of this type.
- -2 = There will be a <u>considerable decrease</u> in activity of this type.
- -3 = Activity of this type will be dropped.

Figure VIII-VII-2. Scale used to indicate probable changes in judicial process activities over the next five years.

Respondents were first asked whether they maintained a <u>professional</u>

<u>court management staff</u>. The majority of jurisdictions visited indicate they

do and anticipate demands for such personnel would increase in the future.

Of the ten area clusters visited, all jurisdictions have personnel bearing the title of court administrator or courts coordinator. These positions, outlined in earlier sections of this chapter, are gradually assuming more of the administrative responsibilities and day-to-day management of the courts. In addition to the chief administrator, whole subcategories of personnel within the administrator's office are emerging. For example, deputies for case management and deputies for management of grants were used in some agencies. Provided monies are available, more professional planning and data processing staff will probably be hired. In addition, various functions now performed by the clerk's office may become part of the court administrator's office. Aside from calendar control, the functions of the jury commissioner and fines collector are slowly being merged or at least supervised by administrator's offices.

Release on recognizance (ROR) and other pretrial release programs constituted our next area of inquiry. Most courts indicate that they have instituted some ROR programs; such programs are expected to produce slight to moderate increases in manpower required in the court system. When programs are established, requirements for administrators, investigators and even counselors increase. In some cities these functions are already performed by members of social service and correctional staff, while other jurisdictions must bring new personnel on board. Demand for increases in personnel for these functions is not only dependent on existing personnel resources, but is directly related to jurisdiction caseloads and judicial policy. Where pretrial detention facilities are overcrowded, and the policy of the court is to allow some type of release secured by bond or third party custody, use of ROR and pretrial release programs may increase. Some respondents indicate, however, that the pendulum may be swinging back toward more pretrial incarceration due to increases in recidivism among pretrial releases and to public

opinion. Because of the variety of factors involved, it is difficult to predict from the small sample taken the types of changes which may occur in personnel requirements for this area.

The use of computerized caseflow and management information systems, and the development of offender-based tracking systems are identified by most jurisdictions as trends that will become increasingly apparent in the future. In the cities visited, computer sciences are utilized in a variety of ways including notifying jurors, identifying delays, and assisting in the development of the court calendar. A great deal of experimentation continues in this field. Some jurisdictions have invested large sums of money--sometimes exceeding one million dollars--to conduct needs assessments and develop prototype models, only to find that this is not what they want. Other states have slowly implemented various integrated systems and are finding that tasks which formerly required a large number of personnel can be handled more quickly and efficiently by machines.

The need for computer technology has been recognized by most courts visited and will continue to become a regular part of court administrative operations. Judging from those jurisdictions visited who have some computerized functions, the most immediate impacts on manpower are the reduction of certain types of clerical personnel and the need for either retraining or hiring to provide key punchers, coders and programmers. In the long run, most courts hope to retain most of their current staff and expect to realize some court personnel savings. No data is readily available to indicate the impact that development and implementation of offender-based tracking systems might have on manpower.

Diversion was the next trend identified. Every jurisdiction visited utilizes some type of diversionary scheme to remove offenders from the system. The most common programs are either first offender projects or post-adjudicatory alternative projects such as placement in drug treatment centers (while not true diversion, this is considered as such by respondents). Some unusual projects are in progress, such as alternative community service or restitution models, but the majority are either offender or crime-specific projects. Also, with the exception of first offender and certain federally funded drug or alcohol programs, most projects are not managed by the court or court personnel. Rather, they are either directed by prosecutor, social service (including probation), or community-based agencies.

Respondents for the most part like and accept the utility of diversion projects and anticipate they will continue to grow, provided monies are available. The direct court-related personnel and manpower requirements are and will most probably continue to be minimal, except where probation services are part of the judicial process. Judges could not identify any reduction in workload or shifting task or time that might have occurred as a result of using diversion programs in their jurisdictions.

<u>Decriminalization</u> of certain laws, specifically traffic laws, are beginning to have some impact on judicial personnel. However, changes in some drug and alcohol laws have not had any measureable effect on the few jurisdictions visited which have decriminalized some classes of deviant behavior. In the traffic area, revision of some laws is causing some "criminal" behaviors to be reclassified as civil-type wrongs, allowing for more administrative adjudication. Criminal sanctions are being reserved for offenses of a more serious nature, such as driving while under the influence or while intoxicated

and vehicular manslaughters and homicides. Because of this, some limited jurisdiction courts which formerly devoted 90% of their time to traffic cases are no longer facing the huge backlog they once did. One pretest jurisdiction visited found that smaller satellite courts are no longer needed as a result of traffic decriminalization and that they are being consolidated or phased out. Most states visited have either considered or will soon consider some type of traffic decriminalization scheme. Some jurists argue that such law changes will simply transfer jurisdiction of these cases from the courts to administrative bodies (such as departments of motor vehicles) and that no net savings will actually be realized. In those jurisdictions that have made some changes, however, there is definite decrease in the time judicial personnel must spend on traffic cases and the increase in demand for clerks and administrative personnel is only minimal.

The <u>utilization of parajudicial personnel</u>, particularly commissioners and referees, has had a dramatic impact on judicial manpower needs. However, of all the jurisdictions visited, only a handful use parajudicials to a large degree, and it is doubtful that they will be added to systems where they are not already being utilized. The most constant use of these quasi-judicial employees, other than in the juvenile court, seems to be in the civil areas of family and domestic relations and in the criminal areas of traffic and pre-liminary matters. One jurisdiction has characterized their commissioners, who are lawyers and receive 80% of the statutory salary of a judge, as individuals who perform tasks judges do not like to do. In a general jurisdiction, dissolution of marriage cases by the co rts can be very time-consuming and really proforma (if not contested). On the criminal side of the docket, taking testimony regarding "who hit whom" can be an equally simple and time-consuming

process. Thus, some jurisdictions utilize parajudges to perform these tasks, which are necessary but which do not require a judge's skills or are not high priority. In some jurisdictions, these officers of the court can on occasion render judgements, provided parties agree ahead of time to allow the matter to be heard and decided by a commission.

Without these personnel, some courts could easily be experiencing major delay and backlog problems. However, certain legislators have questioned the value of paying someone 80% of a judge's salary to perform only limited duties. As a result, when one jurisdiction recently requested another commissioner, the legislature created another judgeship instead.

In jurisdictions where commissioners and referees exist, they will probably continue to perform many judging tasks as long as court reorganization does not upgrade or eliminate them. Only the use of certain administrative adjudicative practices such as traffic hearing officer or pretrial hearing examiner might create additional needs for these types of personnel in courts which do not now have them.

Court reform or reorganization is another trend which seems to have had a dramatic effect on judicial manpower requirements. By consolidating limited jurisdiction courts in one state, hundreds of part-time and full-time justice of the peace jobs can be eliminated. On the other hand, a general trial court can grow from 12 judges to 43 in a year due to changes in subject matter jurisdiction, although it would be inaccurate to conclude that reorganization will always result in such drastic change. System requirements may shift for administrative purposes, regardless of transformations due to reorganization.

Almost without exception, court systems in every area cluster visited have either undergone reorganization or have formulated legislative plans to

do so. Each plan has required or will require some shifts in personnel and some restructuring of judicial duties.

One of the direct benefits of reorganization planning and its subsequent implementation is the evaluation and assessment of judicial personnel requirements, which is usually performed for the first time. Another benefit is that means are developed to continually reevaluate needs by various methodologies, such as weighted caseload studies.

Another development affecting personnel is the creation of judicial personnel systems at the state level. These systems impose some administrative uniformity upon the courts and helpfully contribute to more effective use of personnel.

Finally, other trends such as the use of volunteers and the implementation of victim and witness assistance centers have been discussed as having potential impact on manpower needs. According to the respondents interviewed, neither was considered to have any long-range effects upon judicial manpower in the future.

1. Findings and Conclusions

- There will probably be an increase in the need for more professional court management personnel.
- Although release on recognizance programs and pretrial services continue to increase, the impact upon manpower needs in the courts will probably only be slight.
- We can expect a greater increase in utilization of computers for many court related functions. This increase will require additional personnel as well as the retraining of many current personnel.

- Decriminalization of certain laws, particularly traffic laws, may have some impact upon judicial personnel. Specifically, we may find a shift in the nature of the tasks performed by limited court judges.
- Parajudicial personnel has had substantial impact on the workloads of courts in which they serve. Whether the demands for personnel in this category will increase is not clear at this time.

REFERENCES AND NOTES

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- 4. Gazelli, James A. "Lower Court Unification in the American States." Arizona State Law Journal, Vol. 1, 1974, p. 666.
- 5. Ibid.
- 6. Ashman, p. 30.
- 7. Ashman, p. 30.
- 8. Ashman, p. 31. See also: A.B.A. Comm. on Standards of Judicial Admin. Standards Relations to Court Organization, 1974.
- 9. Ashman, p. 32.
- 10. American Judicature Society. <u>Court Administrator</u>, Report No. 17. Chicago, Illinois. 1971.

CHAPTER VIII. DEFENDERS

Although guaranteed by the Constitution, the provision of adequate legal representation for those accused of committing criminal offenses—especially for those defendants who are indigent—has developed quite slowly throughout the course of American jurisprudence.

It was not until the United States Supreme Court handed down its decision in <u>Powell v. Alabama</u>, 387 U.S. 45 (1932), that the rights specified in the Sixth and substantially broadened through the application of the Fourteenth Amendments began to have meaning for defendants in more than a handful of states. <u>Powell</u> held that unless defendants in capital cases could be afforded substantial counsel and reasonable time for case preparation, due process rights would be denied. <u>Powell</u> concluded by specifying the requirement that if counsel could not be retained then the court was under an obligation to supply adequate representation whether the defendant requested it or not.

The principles propounded in <u>Powell</u> were expanded two years later in <u>Johnson v. Zerpst</u> 304 U.S. 458 (1934), by applying the same Constitutional guarantees to indigent defendants charged with committing all classes of federal offenses.

Further attempts to expand <u>Powell</u> and <u>Johnson</u> to the several states were met with opposition from the high court when it handed down its decision in <u>Betts v. Brady</u>, 316 U.S. 455 (1942). The majority of a divided court in <u>Betts</u> reasoned that, while every case is different and must be considered on its own complexity and merits, defendants need not have the appointment of counsel

guaranteed or appointed in order to insure fairness of trial in state criminal court proceedings. Although the court's decision was subject to strong criticism and constantly debated thereafter, the holding in <u>Betts</u> substantially remained the law of the land until the "Betts rule" was overturned by <u>Gideon</u>

<u>v. Wainwright</u> 372 U.S.335 (1963).

In the <u>Gideon</u> opinion, written by Mr. Justice Black (who had voiced rigorous dissent in <u>Betts</u> some 20 years earlier), the court reasserted the earlier notion that the fundamental right of counsel is essential to a fair trial and obligatory to the states under the Fourteenth Amendment. Black concluded by reiterating the principles of <u>Powell</u> and by citing Mr. Justice Sutherland's opinion in that case:

The right to be heard would be, in many cases, of little avail if it did not comprehend the right to be heard by counsel....If charged with a crime, he is incapable, generally, of determining if the indictment is good...he lacks the skill and knowledge adequately to prepare his defense, even though he has a perfect one. He requires the guiding hand of counsel at every step of the proceedings against him. Without it, though he be not guilty, he faces the danger of conviction, because he does not know how to establish his innocence.

Through numerous decisions of the Warren Court during the 1960's, this fundamental right doctrine was reaffirmed and expanded. Most recently, the decision having the greatest impact on defendant's right to counsel is Argersinger v. Hamlin, 407 U.S. 207 (1972). Herein the court held that in any case (absent intelligent waiver) where a defendant may be incarcerated if found guilty, the right to counsel is guaranteed. The ruling carries the further proviso that where the defendant cannot afford to retain counsel, the state or local jurisdiction is under an obligation to provide it at no cost to the defendant.

The provision of defense services has grown tremendously over the past ten years and particularly since the <u>Argersinger</u> decision. The vast majority of these services are being provided to indigent defendants by defender agencies or some component of a defender system. Because of this fact, and because of the desire to select agencies where sample sizes would be large enough for occupational analysis purposes, survey efforts have focused upon the organized defender service. This effort will not then directly key upon issues affecting rural defenders or place a great deal of emphasis on ad hoc assigned counsel services. Both are important and deserve further study and 3 attention.

While no one has been able accurately to report or project the size of indigent caseloads, one nationwide survey estimated that approximately 65% of felony defendants and 44% of misdemeanor defendants are not able to afford 4 counsel. Based upon our field survey interviews with presiding judges and chief defenders, we would estimate that for metropolitan and urban areas, these figures may be even higher.

Fifteen years ago formalized defender systems (as compared with assigned counsel systems) existed in only 3% of the counties throughout the United States serving about 25% of our population. National Legal Aid and Defender Association (NLADA) survey estimates in 1973 identified organized defender systems in over 30% of our counties now serving over two-thirds of the population.

The continued expansion of defender services will be more fully addressed throughout this report. However, as the major portion of our nation's crime is centered in metropolitan areas and 95% of these jurisdictions have defender systems, major emphasis will be placed on these areas and the services provided therein.

A. DESCRIPTION OF AGENCIES VISITED

1. Size and Type Distribution

Typically, the provision of defense services at the state, county and local level may be classified in one of three ways: defender systems, assigned counsel systems, or mixed systems. Defender systems include state-based, county-based or local programs usually authorized or created by court rule or enabling legislation. They may include regional defender programs serving multi-county areas or contract services with practicing attorneys, law firms or non-profit corporations to provide regular services to indigent defendants.

Assigned counsel systems implement the right to counsel by selecting or assigning private counsel on a rotation or ad hoc basis. Mixed systems, as its name implies, usually has elements or characteristics of both defender and assigned counsel systems. It should be noted that even in "pure" defender systems, there must, by necessity, be a mix of private counsel. This is brought about by a number of factors, not the least of which are conflict of interest cases (defense in multiple defendant or co-defendant suits for the most part) or expanded caseloads beyond staff capacity or special capability. In reality, most systems represent some mix in varying degree.

The agencies visited during our field site work represented a sampling or mix that is indicative of the variety of services presently being provided throughout the country. Of the defender agencies visited, four were components of statewide defender systems, four were county-based systems, one was a regional non-profit contract service, and one was an assigned counsel system. With the exception of one county-based system established in the 1950's and the assigned counsel system, all of the defender offices visited were

formally established to replace assigned or loosely organized systems and all were founded during the past ten years.

2. Variations in Organization, Function and Role

How defender offices, services, or systems are organized is normally directly related to legal, administrative, geography, caseload, political and financial considerations of the jurisdiction served. The functions of the office and roles played by respective employees will bear a direct relationship to how these variables are structured and managed. Because of the great diversity of variables that may impact on a defender service, it is extremely difficult to compare or measure administrative capability, performance or practicality in order to endorse one type of system over another. Although National Advisory Standards have recommended full-time defender organizations and a coordinated assigned counsel system involving substantial participation of the private bar, each jurisdiction, by necessity, must design a system and tailor services within given limits and requirements.

The following outlines and descriptions set forth various models of organization either noted or observed during the course of field study in ten jurisdictions. These outlines of organization by no means represent the full range of possibility for organizational structure that exists for the provision of defense services. It was hoped, however, that these models exemplify a representative sample and more importantly set forth how some of these designs tend to impact upon manpower, personnel systems, training and education.

The major distinguishing factor in considering structure of public or assigned counsel systems is whether they are organized and structured on 6 local, regional, or state level, or a combination of these. NLADA further refines these variations to include: a wholly local program funded and organized at the local level; a multi-county program funded by the several counties

served; a state financed program involving local selection of defenders and local autonomy by the local defenders; a state financed program involving state selection process for the local defenders, but maintaining local autonomy insofar as each local defender is responsible for the policies and procedures of his or her office; and a state financed program with central administration of all defense functions which may include not only handling of appeals and selection of the local head defenders but the appointment of assigned counsel as well.

a. Locally Based Systems. Usually organized and funded on a county-by-county basis, locally based systems represent the predominant method of delivering defender services. These offices are usually created by court rule or local legislation, although they may have been developed as a result of state mandate. One of the jurisdictions visited serving a medium sized urban jurisdiction may be placed in this category. The state requirement in this jurisdiction simply allows the county one of several options including a public defender, coordinated assigned counsel services, contract services or any combination of the above.

The functions and respective roles of defenders serving county-based or local systems will depend upon the mix selected. For example, Table VIII-VIII-1 represents the functions or services performed by a county-based defender service comprised of full time defenders utilizing assigned counsel only in conflict cases. As can be seen, almost all major functions are performed by the defender agency. Compare this jurisdiction with Table VIII-VIII-2 representing a county-based defender system providing services only to felony defendants, with additional support provided by assigned counsel or contract services.

Table VIII-VIII-1 Description of Defender Functions Utilizing Little or no Assigned Counsel

					•	
				Separate Juvenile Court		
Felony	Misdem.	Felony	Misdem.	Felony	Misdem.	PINS
		x	x	x	x	
x						
x	x	x	x	x	x	
x	x	x				
				x	x	
	x	x	x	x	x	
=		x	x	x	x	
	x					
		x	x	x	x	
			-1,			
·		x	x	x	x	
	dictio Felony x	diction Courts Felony Misdem. x x x x x	diction Courts diction Felony Misdem. Felony x x x x x x x x x x x x x x x x x x x	Felony Misdem. Felony Misdem. x x x x x x x x x x x x x x x x x x x x x x	diction Courts diction Courts Juvenil Felony Misdem. Felony Misdem. Felony	diction Courts diction Courts Juvenile Court Felony Misdem. Felony Misdem. Felony Misdem. x x x x x x x x x x x x x x x x x x x x x x x x x x x x x x x x x x x x

^{*}First arraignment

Table VIII-VIII-2 Description of Defender Functions Utilizing Assigned Counsel

Functions	Limited Juris- diction Courts		General Juris- diction Courts		Separate Juvenile Court			
runctions	Felony	Misdem.	Felony	Misdem.	Felony	Misdem.	PINS	
Presentments *	х] 					
Prelim.(Probable Cause Hearings)	Х		х					
Arraignment Hearings (second)	х		Х			20.0		
Bail Hearings	x							
Juvenile Court			х					
Trial	x		х					
Sentencing Hearings								
Appeals			х					
Special Hearings/Petitions			х					
Pre-trial motions	х		×					
Prisoner rights								
Postconviction (e.g., Habeas Corpus)								
Mental Health								
Service of Process								

^{*}First Arraignment

The most advantageous benefit of the locally based model is that it allows jurisdictions to tailor systems to meet requirements within existing needs, resources and political considerations. Jurisdiction A is a large metropolitan county with large volume trial courts in three locations. In the interests of economy and efficiency, a centrally administered defender system with full time defenders and minimal use of assigned counsel may be most suitable. For jurisdiction B, a large rural county with a minimum criminal caseload, only one full time defender combined with a supervised assigned counsel program may be most advantageous.

Among the factors of primary importance to locally based systems is the need of the defender service to remain independent of political pressures in order to optimize the value and quality of defender services offered. This problem, while not limited to county or locally based systems, can be extremely difficult to maintain in certain jurisdictions. This is especially true where the defender service is a creation of a county board or board authorized group of directors who may be charged with overseeing the defender program. When appropriations are discussed, defender services must negotiate just like other agencies for their fair share of limited public revenues. Some might argue that this "political" or even democratic process makes defender agencies more publicly accountable and more cognizant of local needs and considerations. The debate over this issue will continue.

The advantages of locally based systems must be carefully weighed against perceived deficiencies that impact directly on service delivery and include serious manpower, training, and educational considerations. The principal concern of experts and commissions studying this problem have concluded that one of the major drawbacks to locally based programs is lack of uniformity in the quality of representation to indigent defendants. Other criticism,

mostly directed at lack of administration and resources has cited lack of supporting services such as investigative services and offender rehabilitation services, lack of established operating practices and procedures, inadequate appellate services, lack of training and research resources and the inability to achieve necessary coordination. In addition to the above, one frequently made criticism is that where defenders are locally appointed and financed, defense of heinous or controversial offenses may jeopardize the stability of the office due to public outcry. The manpower implications are obvious. During a period of increased caseloads and a decreased economy conditioned by slowed recovery, counties or local jurisdictions cannot favorably respond to requests for increased personnel. At a time when requests for more defenders are being made, jurisdictions are freezing budgets and even asking agencies to cut back on previous budget allocations. Some of the short-term measures to alleviate the problem can really be more costly. For example, a defender service visited was faced with either adding personnel or reducing caseload intake. As the criminal court intake remains the same or increases, cases formerly assigned to defenders are now assigned to panel attorneys. Presuming that these services are not pro bono, assigning out cases will probably be more expensive in the long run.

The problems of supporting adequate training and education programs is in direct relationship with these issues. Locally based services visited for the most part did not have separate line budgets for training unless supported by federal programs, and practices such as attendance at national seminars or training sessions will typically be the first to go when considered in relation to other more pressing needs.

Finally, requirements and wishes of the private bar of any jurisdiction must be carefully considered. No local system can be created or maintained without the endorsement and support of the bar association and private criminal law practitioners who will be affected by any institutionalization of defender services. For a further discussion of this relationship, see "Links With Other Components of the Criminal Justice System" later in this chapter.

Statewide Systems. Statewide systems have grown tremendously over the past ten years. Presently, fifteen states or 30% have some components of an organized state-wide system. Additionally, five states are presently providing appellate defender services to local jurisdictions. The term statewide defender system may be a misnomer of sorts because of the broad range of organizational types. For example, one model of a state system is the statefinanced local defender system. In this type of organizational structure, state appropriations are distributed to local jurisdictions within any one of a variety of options exercised by that jurisdiction. Therefore, the state may be funding a number of public defender offices in large metropolitan jurisdictions throughout the state while at the same time, supporting an ad hoc assigned counsel system for those rural jurisdictions that so choose. The advantages to this type of system seem to be that local autonomy and options may be retained while at the same time providing some centralized coordination and support. In this arrangement, local jurisdictions may be providing some financial assistance as well as contributions of space and facilities. In the statefinanced, locally controlled system, a statewide defender may mandate and provide additional services to local systems. The two most important services provided are technical assistance and representation for defendants in all appeals and application of post-conviction remedies.

Certain other advantages that apply to all statewide systems may have some impact on locally controlled programs. These include coordination of training, planning, research and even the possibility of shared personnel on a pro tem basis. Let us look at each of these.

Although every office recognized the value of both orientation and inservice training, it is often viewed as a luxury in terms of both time and financial resources by many local jurisdictions. State supported activities can
meet this short-fall through the development of handbooks, trial practice
guides and the regular provision of training programs held throughout the state
at selected locations.

Planning for the provision of realized and perceived needs may also be a vital contribution to locally controlled systems. This is especially necessary in responding to the major criticism of locally controlled systems, namely that services are not uniform and are not applied against established standards for defender service delivery.

Finally, research capacity and technical support can be of invaluable assistance. The latter is especially true for smaller assigned counsel or one man office system components who may be faced with defending serious, complicated or time consuming cases. Drawbacks to these locally administered programs have been noted as well. Sometimes the local control and autonomy that is so desirable to one system can be a detriment to another. NLADA's Study Commission on Defender Services cites one newspaper editorial that points up some of these difficulties.

The practice of appropriating by judicial circuits for the court-appointed counsel program rather than by lump sum for the entire court appointed counsel program has... caused some administrative headaches.

The court's administrator has been attempting to provide some administrative services such as the development

of budgets. But each of the public defenders is authorized to request funds and hire assistants, subject to the approval of circuit judges. In parts of the state where court appointed counsel is used, circuit judges set the budget.

This administrative limbo can be traced to the General Assembly's reluctance to create a new agency to operate the program. Supporters of the public defender concept were not completely satisfied with the legislation that was finally approved. But they accepted it hoping improvements could be made later.

c. <u>State-financed Systems with Centralized Administration</u>. This type of system was observed in four jurisdictions visited. For these jurisdictions, the relative advantages of state over locally managed services seemed to fall into three areas: organization and management, level of effort, and financing.

In three state-wide systems observed, the management and administration of all system components had been centralized and consolidated. Under this structure, many tasks which would normally be the day to day responsibility of individual defenders are performed by "state headquarters." Additionally, the policies, practices and administrative directives are all promulgated from one central office with appropriate input and support from regional or local offices. The benefits of time saving and, more importantly, uniformity of service delivery, are thereby achieved. Standards for indigency, recording of waivers, for example, may be fixed and applied based on one procedural and substantive set of criteria. This centralized management can also provide monitoring of caseloads and needs assessment for the entire state. Additionally, the planning function as well as training and specialized services may be offered without the pressures of individual office caseload and service demands.

The level of effort and volume of cases effectively handled throughout the state may be affected as well. Centralized administration combined with adequate monitoring and coordination of service components can, in theory, spot potential overloads and adjust accordingly.

Flexibility of personnel within a centrally administered statewide system also offers a potential advantage over other service delivery methods. Theoretically, attorneys and support staff of individual component offices are employees of the state system and should possess the same skills and abilities of any other employee at their professional level. This should allow them to accept assignments anywhere throughout the state. Although state offices do not shift personnel from one political subdivision, county, or judicial district to another as a matter of course, it does happen on occasion and may be especially useful where small divisions serving large geographic jurisdictions must, because of short term case demands, increase levels of effort for special trials or types of cases. For example, a two man office covering a multi-county rural area of 300 miles is suddenly faced with a large murder or conspiracy case that could last two to three weeks. Without the capacity to reassign personnel quickly who are familiar with law procedure and agency operations, the case might require delay or assignment of counsel at an increased cost to the state.

In addition to coordinating special services, the level of effort for specialized functions may be increased. The most successful of these, in addition to training, is probably appellate practice and research. The preparation research and argument of appellate practice require special skills.

Attorneys trained in trial work often do not have the time or requisite ability to be good appellate practitioners. By the same token, many attorneys in defender agencies find they do not like or are not capable of meeting the demands of

a trial calendar, but enjoy defender practice in the appellate arena. The research of complicated legal issues may also support regional or local offices with the resources and skills not available to smaller operations.

The financing of any defender system is difficult and complex even for statewide funded services. Ten years ago it was estimated that only \$16.9 11 million was being spent annually for all indigent defense services. Today, conservative estimates for the total annual amount of money being spent for the 12 defense of poor persons accused of crime approaches \$150 million. One state—wide system visited attempted to apply national standards developed by NLADA and endorsed by the National Advisory Commission on Criminal Justice Standards and Goals to estimate costs and appropriation requests for the system. Even without providing misdemeanor representation, the study concluded that an additional \$17 million should be appropriated to meet existing caseload demands. Upon consideration of this budget proposal, approximately \$1 million was made against the \$17 million requested.

Even given these findings, statewide funding may be more easily attainable and subject to more suitable and standardized documentation than piecemeal appropriations based on differing standards of locally based models.

Inherent in the legislative process, in addition to the seeking and justification of appropriations for the maintenance of systems operations, is the impact of lobbying and legislative reform an independent state agency can have. Almost all statewide, centrally administered agencies are based in the state capitol and have the potential to become activists for change. Chief defenders are highly respected for the most part among judicial committees and are frequently called upon to comment upon proposed legislation in addition to offering proposed changes for the administration of criminal justice within the state. State defenders have found themselves to be regular participants

on criminal justice coordinating councils and planning components of state judicial service programs representing the needs of defenders throughout the state.

Along with potential benefits to statewide, centrally administered programs are potential drawbacks or areas of conflict. Firstly, statewide systems must continually be cognizant of specialized needs or requirements within individual system components. For example, it may very well be that under prior county based programs, local defenders were able to seek and acquire additional manpower on an as needed basis. The newly imposed state appropriation process may impose restrictions and limits which create a sense of imposed will or mandate and be viewed as detrimental to local operations. The compromises that may be struck to remedy certain problems in local jurisdictions may be equally unsatisfactory. In one jurisdiction visited, three counties that were faced with increased caseloads had to request judicial hearings to adjust their caseloads.

Secondly, local autonomy may need protection wherever possible. The problem has been addressed somewhat by state systems allowing local jurisdictions to select or elect their defenders.

Thirdly, statewide, centrally based systems must be careful to strike a delicate balance among public defenders, contract services and assigned counsel. As stated earlier, no system can be composed entirely of public defenders nor could it handle 100% of the caseload. Striking the proper mix then is very important. Within a state, counties or judicial districts may vary a great deal by geographic distribution of population and caseload. In some of these jurisdictions, private criminal defense bars may be small or

already endowed with enough clients who can pay for representation. Complications arise when the private bar feels its business will be diverted. order to insure the passage of enabling legislation creating most centrally based defender services statutes will typically include language similar to the National Advisory Commission Standard 13.5 which states that, "....cases should be divided between the public defender and assigned counsel in a manner that will encourage significant participation by the private bar in the criminal justice system." In practice, this division may require only minimal participation, while in others it may be substantial. Even within one jurisdiction visited, the variation from judicial district to judicial district was great. In order to pass enabling legislation, two metropolitan jurisdictions were guaranteed assignment in almost 50% of the indigent caseload, while in the largest urban jurisdiction of the same state, public defenders now handle almost 95% of indigent cases filed. The diversity of case-type assignment may be similarly great. One statewide system may find that restricting assigned counsel to misdemeanor or appellate practice is of mutual benefit while another will only use private attorneys for conflict cases only.

How the private bar or panel of attorneys are utilized can be of extreme benefit to defender systems in two major areas identified by respondents during field survey visits. The first of these is in the area of managing caseloads where clients requiring services outstrip agency personnel's ability to provide services. Secondly, a number of agency executives interviewed considered the representation of indigents on appeal to be a function best performed by private counsel. Although many private practitioners do not have a great deal of trial practice, they may be good researchers and brief writers. These are two skills public defenders have not mastered unless they have devoted time and effort to appellate practice. Additionally, representation at the appellate

level by new counsel allows a fresh look at the trial record and may, with the assistance of trial counsel, afford new perspectives for the appellate court to consider. Finally, questions of the adequacy of trial counsel may be raised more easily by new counsel without the potential problems of conflict of interest.

- Contract Services. This method of organization may be characterized as part of an integrated defender service or as a separate method for provision of counsel. In the jurisdiction visited where contract services are used, the state leaves it up to the several counties to select the type of services it desires. The service may be provided by an organization specifically created for the purpose of representing formerly court-appointed cases or it may be composed of local bar association members who have formed professional or nonprofit corporations to provide services to a designated number of indigents a year. Because of their flexibility in design and implementation, the contract service can be attractive. If a county knows or can reasonably predict its indigent caseload, it may create a mix of assigned and contract provided counsel to service its needs within given budget restrictions. Because services may be costed out by case, a jurisdiction need only buy what it can afford with appropriate provision of additional or limited modifications at a fixed price. Consequently, a contract service providee may not feel many of the pressures of expanding caseloads with fixed resources. Contract services have been observed as successfully operating in both urban and rural settings and as both a part of and separate from statewide systems.
- e. <u>Assigned Counsel Systems</u>. No one really knows the extent to which privately assigned counsel are utilized for defense of indigent clients in criminal matters. In one national survey three years ago, NLADA estimated that 8%

of all metropolitan jurisdictions, and 47% of urban jurisdictions, employ assigned counsel systems. 13

From an organizational viewpoint, it is hard to consider assigned counsel programs as systems, for although some localities have structured centrally controlled programs, most jurisdictions using assigned counsel usually follow no set pattern based on minimal criteria. Typically, two or three models for appointment emerge. The first of these may be appointed by a judicial officer from a list of local practitioners he has compiled. Additionally, local bar associations may prepare lists of those members who have special qualifications or who have expressed an interest in receiving court appointments. In other jurisdictions, the bar may even contract with the courts to provide services and provide screening, training and compensation on an established basis. In some jurisdictions, the panel or ad hoc assignment process may be managed by a court clerk or by an attorney designated for that purpose by a judge or the bar.

There is no question that private counsel will continue to be utilized for court appointment and indigent representation in many jurisdictions in the immediate future. It simply may not make sense to provide a defender service for highly rural or large geographic areas with limited caseloads or where services are provided to the satisfaction of bench, bar, and defendants.

On the other hand, strong criticism has been leveled against the quality of these services and has characterized many as inadequate. The latest proposals for reorganization of assigned counsel "systems" call for central administration under a general governing body that will act to promulgate guidelines, prescribe compensation and terms of appointment, insure independence and quality of counsel and include training to insure competence of panel attorneys.

3. Linkages With Other Criminal Justice Agencies

The provision of defense services, whether it be by a public defender in an organized system or by private counsel assigned on an ad hoc basis, must almost by definition remain independent of other components of the criminal justice system. To be effective, this independence must extend to the political process as well. However, this independence does not preclude the important linkages and relationships which should be maintained in order to perform the full range of responsibilities required of defense counsel. The following sections describe some of these links and the nature of the relationships observed in the jurisdictions visited during the course of our field work.

Relationship With the Courts. In every jurisdiction visited, presiding judges were asked about the quality of defense services offered by defenders and defense counsel serving their courts. The verdict was almost unanimous that defender agencies or systems are providing a high quality of representation to indigent defendants. Counsel was characterized as being young and aggressive in the pursuit of their clients' best interests. Judges found public defenders to be better skilled and usually more prepared to handle complex criminal matters than assigned counsel. It was the judge's consensus that organized defender services, whether by system or contract, represented a vast improvement over previous ad hoc assignment panel attorneys. spondents also recognized the increased offender related services offered through defender systems and found these to be beneficial as well. When asked to compare prosecution with defense services, judges were split as to whether one did a better job than the other. However, they did cite the problem of high caseload and high turnover which tends to reduce the quality of prosecution services when compared to public defenders. Chief defenders were

consistently identified by judges as being qualified and capable people and for the most part better administrators than their counterparts on the prosecution side.

Chief defenders were similarly asked about relationships with the judiciary. These respondents constantly expressed the need and desire to remain as an independent variable in the adversary process.

The impact of this relationship extends into the organization and management of defender services and may be complicated where defender services are under the supervision of the court or judicially controlled or dominated councils. This problem was highlighted by the National Advisory Commission in its commentary on the performance of the public defender function when it concluded that "The realities of criminal practice are such that the adversary system is not a two-way, but a three-way encounter. The mediator between two adversaries cannot be permitted to make policy for one of the adversaries.

b. <u>Law Enforcement</u>. Defenders who were interviewed had two divergent opinions about the police and the relationship that should be maintained between law enforcement and the defense. One group of respondents held law enforcement with suspicion and chose to deal with them as the enemy. They reasoned that if this is a true adversary system, law enforcement and, to a lesser degree, the prosecution, are the opponents. You do not give your opponent anything which may, in any way, weaken your defense or hurt your client.

The other group of defenders representing a majority of respondents considered law enforcement a more worthy opponent, one who should be respected and, if treated properly, could even prove advantageous to a client's defense.

One of the ways artificially created or detrimental barriers are broken down between law enforcement and defense counsel is through non-case related

interaction. This exchange of ideas and information is accomplished through a variety of ways, the foremost of which is training and continuing education. A number of offices visited utilize law enforcement equipment, facilities and personnel to learn how to be defenders. To be effective, defenders must know how investigations are conducted, how physical evidence is gathered and analyzed, etc. In exchange for this cooperation by law enforcement, defenders may often be included in the training of police on such topics as criminal law, evidence and procedure. Although both the police and defense must remain independent of each other to do their work effectively, the inroads toward coexistence make the performance of both occupations more palatable.

c. <u>Prosecution</u>. In the vast majority of jurisdictions viewed, the relationship between prosecution and defense services was typically one of cooperation and mutual professional respect. No defender can operate in a pure adversarial vacuum. To be successful in the representation of their clients, defenders must be skillful negotiators and communicators. In recent years, changes in discovery rules at both state and federal levels have led to a more open and freer access to information. However, a prosecutor who feels threatened or badgered by defense counsel can make even open discovery a difficult process. Although it is beneficial for both prosecution and defender services to maintain good relations and avoid unnecessary conflict, the defender must carefully avoid the appearance of close association with law enforcement, and remain at all times aware of his image as perceived by the client community.

One subtle factor that leads to greater increased cooperation between defense and prosecution is competence of counsel. When a defender has reviewed police and prosecution files and considered the skills of an adversary at

trial, he or she may be in a better position to advise a client about possible outcomes should a case go to trial. The same is true of prosecution vis a vis defense counsel. If a prosecutor with a weak case knows his opponent at trial could easily have evidence excluded or create reasonable doubt in the minds of a judge or jury, he or she may be more amenable to negotiating or dismissing a case.

Some of the serious problems that arise between prosecutors and defenders are a result of quasi judicial-political issues. A typical example of these problems may occur when a new chief prosecutor has campaigned and been elected on a law and order or "no plea bargaining" platform. In two jurisdictions visited where this occurred, a number of things were observed. Firstly, if not properly planned for with all components of the system, an increase by even 5% in bench or jury trials in a court with already existing large case-loads can cause confusion and delay for all concerned. Secondly, some abuses in the charging process have been observed. And thirdly, the respect and morale of prosecutors can be adversely affected very quickly when reduced efficiency and effectiveness of services become initial by-products of such practices.

Finally, in a vein similar to relationships with law enforcement, defenders and prosecutors often cooperate in joint training and continuing education efforts. Both prosecutors and defenders find these interchanges and learning to be stimulating and lead to a better understanding of organizational and individual problems.

d. Relationship With Private Practitioners. One of the more telling relationships between defenders and other system components not often pursued is that of defenders and private defense counsel. The variable that

will most often determine how this relationship should be structured is
the very method by which defense services are organized. For example, in an
assigned counsel system supplemented by a one man public defender office,
the defender must maintain regular and sometimes daily contact with private
counsel. In other organizational structures that rely on private counsel to
assume representation in only conflict cases, the contact may be much less.
In one statewide system, observed during field visits, the defender
service manages the private defense bar panel. If private counsel wishes to
receive court appointments, he must be certified by the defender service and receive appointments only when requested.

Many typical problems affecting relations between these two groups often stem from the creation of institutionalized defender services. Private defense practitioners may feel threatened by potential loss of income and question the quality of representation to be delivered by organized defender services. Once a mix is established, defender agencies must be careful not to appear to impose their will on private practitioners, but rather to work with the bar through committees and to support training and educational endeavors in order to insure that the highest quality of services is being provided to the client community.

e. <u>Corrections and Social Services</u>. The relationship between defense attorneys and social service agencies—particularly social workers or probation officers—has not traditionally been a good one. The seeds of this conflict often stem from differences in philosophy regarding defendant's best interests. Pre-sentence investigations and reports that reveal damaging facts or recommendations to the court for seemingly punitative dispositions are adverse to a defender's perceived role as an advocate for his or her client. In many jurisdictions, this will continue to be a stumbling block to better

relations. However, as evidenced in some jurisdictions visited, certain positive changes are emerging. These modifications to previously held beliefs have been brought about by the utilization of social services as part of the provision of defender representation.

Two distinct models seem to be emerging regarding this trend. The first finds defender services with "alternatives" staff, individuals who act as liaison between the clients and community services. They may get involved in the case as early as time of the arrest. They may assist in securing employment and maintaining community ties pending disposition. The second use of social work specialists is in the post conviction stage. These individuals are characterized as members of alternative or offender rehabilitation teams. They work closely with counsel and the client to develop dispositional alternatives to incarceration for the court to consider. Should adequate levels of funding be available on a continuing basis, these services will continue to be expanded.

f. The Criminal Justice Community. In general, while relations among various components of the criminal justice community remain cordial, there exist very few formal linkages which might be directly attributable to improved efficiency and effectiveness of local criminal justice systems. Although some principal actors in a prosecutor's or defender's office may meet with each other on an as needed basis, practically no effort was observed in addressing any long term problems or needs. The system is very reactive in nature and may be highly politically motivated. Two efforts to bring about a change in this situation were observed. The first was viewed in two of our cluster cities and involved the presiding judge holding regularly scheduled meetings with all key officials to discuss agenda matters and potential problem areas affecting the entire LE/CJ community. Although this is not a body which projects long range programs or solutions, it does provide the forum for airing

problems and considering resolution by key executives. The second forum that now functions in most large communities or in smaller jurisdictions on a regional basis are criminal justice cocordinating councils. Created principally for the disbursement of LEAA funds, these groups have the potential for meeting the longer range requirements of communities' criminal justice systems. Unfortunately, these groups do not always seek representative members from all facets of the system—especially defenders—and tend to devote too much time to funding requests and sponsoring of new programs.

In conclusion, defender links with other LE/CJ system components and the community are limited, but no more so than any other subsystem with the exception of police/prosecution relationships. In those jurisdictions with active defender systems, we believe there will be an increase in the development and improvement of relationships, particularly as local, state and federal resources become more limited. Defenders will not take the lead but can be valuable advocates not only for their clients but for other criminal justice agencies and the community as well.

4. Findings and Conclusions

- Defender services are still provided and structured in a number of ways. However, over the past ten years this country has seen a great increase in the creation of organized defender systems primarily to represent indigents accused of committing criminal offenses.
- There has been a substantial increase in state organized and financed systems, although local autonomy is being preserved where possible.
- Functions and roles of individual defenders may vary a great deal depending on how services are being provided.

- Private or assigned counsel will continue to play an improtant role in providing defense services regardless of the defender system selected by a jurisdiction.
- One of the most important issues in any organized defender system is that independence of counsel from other system components must be preserved.

B. MAJOR FACTORS AFFECTING WORKLOADS

1. Functions and Workloads

Because of the variance in the nature of representation and variables in agency size, organization, and caseload, this analysis of major factors affecting workloads of defenders will be based primarily on the opinions of defender agency executives during visits to nine cities. Although they represent the prevailing situation in a limited number of jurisdictions, they may be analogous to problems nationwide.

Although agencies prefer to work toward standards of acceptable case-loads necessary to insure uniform and quality representation, only two of the agencies visited were capable of keeping pace with the national recommendations for no more than 400 misdemeanors, or 200 juvenile, or 125 felonies, or 15 appellate case assignments per attorney per year. 13 Offices facing increased assignments over and above acceptable staff capability have two obvious options: either more attorneys must be added to existing staff or private counsel assignments must be increased. The following examples from two jurisdictions indicate the dilemma facing defender services and the communities they serve. In jurisdiction A, for example, the criminal caseload for adults and juveniles has continued to increase over the past five years. Requirements for counsel have subsequently increased. The Argersinger decision has had no impact on these needs due to pre-existing state requirements for misdemeanor representation. Because of financial difficulty within the county, the defender agency was asked to cut some 22 attorneys from its budget request,

or approximately <u>four percent</u> of its professional staff. At the same time requests for reductions in force were requested, a county audit of agency operations revealed, among other findings, that defenders may be arbitrarily setting more cases for trial than they have time to try. One potential remedial plan auditors offered was greater professional supervision over deputies. A local bar committee reviewing these recommendations candidly observed that providing more supervisors was hardly the way to solve existing problems.

Jurisdiction B, similarly facing increases in demand and limited resources, is forced to seek more funds. In the interim, more case assignments to private practitioners must be made, although budget figures indicate that the defender agency can provide these services at approximately one-fifth the cost of assigned counsel.

Compounding the workload problem of agencies is the lack of adequate support services. Some agencies indicated that what they needed was not more attorneys but more trained investigators and support personnel. No definite numbers could be derived, but for offices organized by trial team, at least one investigator and one clerk or secretary should be required for each team.

One of the crucial variables affecting workload that is not within defender service control and is also hard to predict is prosecution screening and charging practices. Some prosecutors might argue that they do not control their intake and, in fact, must prosecute cases referred to them by law enforcement or citizens, provided evidence is sufficient and extenuating factors such as witness availability are not a problem. However, certain changes in prosecution charging or bargaining practices can have great impact on defenders.

As discussed in other portions of this study, some prosecutors are considering and even implementing "no plea bargaining" policies. In one jurisdiction this translated into no reduced pleas in serious felony indictments, while in another it resulted in refinements to the initial charging process. In either case, the method of operation and amount of time necessary for defense practice can be altered considerably, at least in the short run.

One other variable affecting workloads among defenders is the lack of uniformity among the practices of individual judges. Management studies of defender offices often attempt to project manpower needs based on total cases assigned without considering this variable. The following example may illustrate this problem. In one jurisdiction visited, defenders are assigned in teams of two by trial division. A trial division is comprised of one criminal court judge. In Division A, the defenders may have 50 open cases at any given time, while attorneys in Division B have a caseload of only 25. The assumption might improperly be drawn that Division A attorneys have twice as much work to do as Division B counsel, and this is why. Division A's judge likes to move his calendar and not only approves of plea bargaining, but often encourages it. If he feels a case is becoming too protracted, he may simply inform the prosecution what he will accept. If agreeable to the defense, a quick resolution on the record will be made and the case is disposed of. In Division B, however, the judge does not endorse such practices. Therefore, if you are a Division B defender, you know you will have to try many more cases. The judge in Division C may require all motions be supported by points and authorities in written memorandum form, while judge in Division D may accept oral argument at the bench. And so on.

Depending on the jurisdiction, sometimes physical space and the manpower problems of other system components may be more controlling variables to

workload than case filings. Where there are not enough judges and/or courtrooms to hear cases, the practices of prosecutor and defense counsel will be
adjusted accordingly. Therefore, it is possible to have two defender offices
of similar size and caseload with extremely different workload and manpower
requirements.

Other workload variables may be related to the provision of specialized functions. For example, local agencies organized into statewide systems normally do not have to be concerned with appellate practice—a function which is specialized and can be time consuming. If agencies are required to provide other services such as representation for post—conviction relief, or appearances on behalf of clients in support matters, or mental health proceedings, these may add to more traditional workload requirements.

Finally, changes in practice and procedure by legislatures and court rule can severely impact upon manpower requirements. For example, in some jurisdictions visited, the right to a preliminary hearing may make a major shift in the type and focus of representation. If a prosecutor elects to utilize the grand jury to a large extent, he eliminates rights to preliminary fact determination which the defendant may attack. Therefore, some defenders have observed, this has led to hundreds of unfounded charges and clogged trial dockets, which require time and manpower to untangle. In other jurisdictions the preliminary hearing process is used extensively and now constitutes a minitrial, sometimes lasting as long as two weeks.

2. Resource Constraints

Every jurisdiction visited indicated they were operating under some restraints ranging from mild to severe. Even agencies now experiencing mild



financial requirements indicate they would be worse were it not for jurisdictions insisting upon increases in the use of assigned counsel.

In the majority of agencies, professional manpower would be the primary target of additional funds, should they be made available. In rank order, the other priorities indicated were: support services, including clerical and investigative resources, equipment, and training.

3. Findings and Conclusions

- Defenders caseloads appear to be in excess of acceptable national standards in the majority of jurisdictions visited.
- The implementation of <u>Argersinger v. Hamlin</u> has not had a severe impact on agencies viewed during this study.
- Variations in the performance of prosecutors during screening, charging and negotiation may drastically affect workloads within a defender service.
- Occasionally, the manpower problems of other system components can seriously affect defender's workloads.
- Defender agencies continue to experience financial resource problems ranging from mild to severe.

C. ANALYSIS OF PERSONNEL SYSTEMS CHARACTERISTICS

1. Recruitment and Selection

Personnel department type interviews were held in eight of the ten jurisdictions visited to assess problems in and the status of recruitment, selection, and retention of agency personnel. For the most part, based on our survey work, defender offices do not maintain personnel offices or directors for the purpose of managing personnel. The following analysis is based upon responses to personnel-related questions asked of individuals designated by agency directors as managing personnel policies and practices. In many instances it was the chief defender himself.





Not one respondent indicated there were any problems in recruiting competent applicants for staff attorney positions. The reason given most often was simply that there are more qualified applicants than positions. The smallest office visited indicated they receive over 80 applications a month for an office that has five full time attorneys. With the exception of one large urban office that may hire as many as fifty new lawyers throughout the course of a calendar year, no office indicated that they even actively recruit applicants. Sixty percent of the agencies indicated that their offices' starting salary was competitive for comparable employment in other public agencies and not much below entry level salaries for large firms in their jurisdictions. The problem of low starting salaries that plagued many agencies in the past no longer seriously impairs recruitment in the jurisdictions visited. Finally, one of the more prominent incentives assisting recruiting or unsolicited applications is the desire by recent law school graduates or new practitioners to gain trial experience. It is generally acknowledged that for the recent graduate the only real place for trial work is either in prosecution offices or defender agencies. Whereas prosecutors tended to attract the majority of these applicants in the past, with the increase in the number and stature of defense agencies the pendulum has swung back in favor of defender services.

Respondents were also queried about any minimal educational requirements for applicants and further probed about the qualities and characteristics looked for in potential new hires. All agencies visited required two basic elements: a law degree and admission to the bar in the forum jurisdiction. Although agencies have hired recent graduates who have been affiliated with the office by virtue of clerkships or intern programs pending bar examination

results, these instances are becoming more limited. The principal reason for this seems to be the increased demand of the agencies to produce competent trial counsel who may go into court and assume caseloads as soon as possible. The only other additional formal requirements may be imposed by state statute or court rule. For example, in one agency all personnel are governed by county civil service. The only additional requirements this may impose are oral examinations focusing on ethics, conflicts of interest, etc. This examination poses no serious problem for applicants and in fact is developed by the hiring agency.

There exists one other major recruitment variable which is also directly related to selection that has emerged over the past few years, namely the clerkship or intern program. Based on field observations no other single source provides new hires for defender agencies. Every agency visited from the five man office to the agency with over 400 staff attorneys, offered some type of program or combination of projects utilizing law students during the school year. Although the structure of these programs will not be discussed here, all agency executives agreed that these services give the office an opportunity to teach and more importantly, observe potential staff attorneys. During the course of months or even years, supervisory and senior attorney staff may evaluate and measure student performance. When positions become available, agencies have indicated a strong preference for those they have trained, observed and measured for future employment as staff attorneys. Although all agencies were careful to point out that students are always informed that participation in clerical programs is neither a prerequisite nor a promise to future employment, in fact the majority of new hires are now coming from these programs.

The other criteria defender agencies rely upon for new selection of new staff attorneys may represent a wide range of variables with varying degrees of emphasis. There was no real consistency that could be clearly delineated from a sample of eight agencies of different size and type. However, certain factors consistently emerged from interviews that are worth noting.

- a. Academic Qualifications. Emphasis on or requirements for high academic standing did not emerge as a critical variable for selection. While students who have shown competence to perform well in the classroom may have acquired a degree of substantive knowledge necessary for criminal law practice, "grades" alone do not control the selection process. However, by the same token, if all other criteria are equal for two applicants, academic credentials and the law school graduated from may bear on final selection.
- b. Previous Experience. Prior practice and practical trial experience can be an extremely valuable asset and attractive to potential defender agency employers. This is especially appropriate for defender services that are being established or created for the first time. One statewide defender agency visited related its experience in developing a working defender system for a large state in a relatively short period of time during the early 1970s. The state public defender opted for the selection of experienced trial attorneys who were already established in local jurisdictions and judicial districts. Each of these attorneys possessed a minimum of 10 years of criminal trial practice. This criteria in combination with other variables resulted in a defender service with highly qualified and capable attorneys over the past six years; only two of the original twelve hires are no longer employed by the agency.

With some exceptions, experienced attorneys were not hired for defender services visited as part of this survey. The reasons soon become obvious when we realize that hiring experienced attorneys often requires lateral entry into trial attorney positions which may severely impact upon line of promotion and advancement for agencies with relatively small turnover. It should be noted that on a national basis experienced counsel are being hired by defender services that are either being established for the first time or may have limited caseloads such as one man rural offices. Finally, there are large agencies (not in our sample) which require a minimum of two years of criminal justice or related experience prior to service entry.

C. Skills and Abilities. The factors that seem to have the greatest bearing upon the selection criteria for new hires are certain skills and abilities perceived as being vital for the defense attorneys. Foremost among these are good trial skills including self assurance, aggressiveness, effectiveness as an advocate, the ability to think on one's feet, and dedication. It is interesting to note that agencies visited were not as concerned with the individual's substantive legal knowledge, although they stressed the need to have a thorough knowledge of criminal procedure and evidence. They recognized many of their new hires simply did not have the requisite practical experience to have mastered these topics. For applicants who came from agencysponsored clinical programs these skills had already received some sharpening and presumably some evaluation as well. For other applicants the process must be a more subjective one based upon recommendations and impressions at interviews. Without professional training or experience in trial advocacy, agencies must simply use their best judgment.

In addition to specific selection criteria, agencies were questioned about comparative staffing levels of men and women, and white and non-white personnel. On the average women composed approximately 10 to 15 percent of the total attorney population. Non-white staff attorneys normally comprised an average of 15 to 20 percent of total attorney population. In both instances there appeared to be no correlation between either sex or race and type of organization served.

With regard to the future hiring of women, the eight responding agencies were evenly divided on the issue of whether these percentages would remain the same or increase. No respondents indicated the number of women staff attorneys would decrease. Interviewees consistently indicated that more and more women were participating in clinical programs as well as applying for full time positions. They credited increased enrollment of women in law school as the main reason for increased numbers in the employment pool. Women were considered by respondents to be as qualified as male counterparts and in much greater demand by competing employers in the marketplace. Similarly, minority law school graduates are in great demand, and it is difficult for defender services to match initial offers. Respondents indicated they were extremely anxious to hire both women and minorities but were quick to point out that eligibility standards would never be lowered to accommodate either antidiscrimination or affirmative action programs.

2. Utilization of Personnel

How personnel and staff are deployed within any defender agency will be directly related to the type of defender service, the organizational model selected, the size of caseloads, the number of personnal and the nature of

the representation provided. Obviously the varieties are endless, but within the agencies visited for survey purposes some characteristics of personnel utilization do emerge.

Firstly, respondents were asked whether new attorneys were given a specific first assignment. The majority of those answering (7 of 8) indicated there was almost always a first assignment and that it usually was placement in one of the courts of limited or special jurisdiction such as traffic court, misdemeanor court or juvenile court. One senior attorney referred to this period as "paying your dues." During this time new hires are usually still completing their initial training and the philosophy behind placement is that in lower courts they may learn, practice, and sharpen their skills under the supervision of senior trial attorneys without doing "too much damage to clients." One agency's first assignment was a little different. New hires in this office were always assigned to the appellate section first. The rationale behind this assignment was to have students really learn the law, while familiarizing themselves with agency operations before moving to active trial case related matters.

Beyond initial assignment the most important variable for staff utilization will be the structure or organizational model of the agency itself. For example, compare how personnel may be distributed throughout two different systems. In system A, a statewide system, the defender services is a centrally coordinated and administered system. As we can see in Figure VIII-VIII-1 beyond central staff and appellate functions, line staff are organized by judicial district. Within each district office is a chief attorney, assistant public defenders, investigators, aides, and support personnel. Assignments within each judicial district and specific functions may be dictated by case volume and

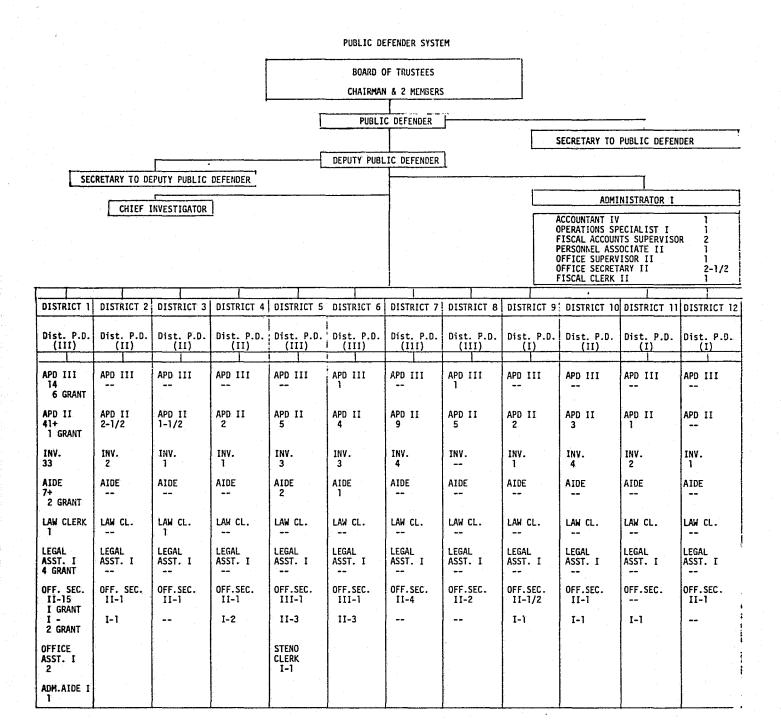


Figure VIII-VIII-1. A centrally coordinated and administered statewide defender system.

courts served. For example, in District 1, the largest metropolitan jurisdiction within the state, functions are divided by court. There is a division for juvenile court, limited jurisdiction court and felony or general jurisdictions court. A special section is also staffed to handle collateral proceedings.

Within assignment by court division, function may be divided by case, individual criminal process component, or by a team approach encompassing all functions. In the assignment by case, a defender is appointed to represent a defendant for all proceedings relating to that client from arrest through adjudication. In the individual component model, one attorney may be assigned to line-ups and preliminary hearings while another attorney may handle the actual trial. This is commonly referred to as stage representation. Provision by this method has come under severe criticism and is generally not a recommended method of functional assignment except in certain circumstances. The use of the trial teams, the third alternative, is becoming a more popular assignment method for some jurisdictions and especially for those with high volume courts. The trial team method in individual courts may normally include a chief trial attorney supervising all teams within a division, team leaders or senior trial attorneys, staff attorneys, an investigator, and in some jurisdictions, case aides trial assistants or interns. Cases appointed in a given court may then be assigned to a specific team which will then handle that case through disposition.

For smaller jurisdictions or districts within the system, such as District 9 in Figure 1, there are only three attorneys, one investigator, and two secretaries. These attorneys will rotate courts served and assignments providing all functions on an as-needed basis.

Managing functions on a divisional model is exemplified by Jurisdiction B (shown in Figure VIII-VIII-2). This large metropolitan jurisdiction utilizes trial team or process component assignment methods depending on caseload, personnel available, and geographic considerations.

3. Career Development and Promotion Practices

To address career development issues relevant to defenders, the initial questions that should be addressed are where do defenders come from, how long do they stay, why do they leave and where do they go. Because of such a small sample size the following conclusions must only be considered possibly representative of national trends.

For the vast majority of agencies visited, the employment pool for new hires was composed principally of recent law school graduates. Selected exceptions may exist for those agencies being established for the first time that actively seek to hire experienced defense counsel or for agencies requiring part time personnel only. Additionally, for agency executives such as chief defender and first deputies, the pool may include experienced private practitioners and in many jurisdictions, present and former prosecutors.

The average tenure or estimate for years of service by agency staff attorneys was three to three and one half years, although one agency indicated one third of its attorneys had been employed for one to three years, one third for three to nine years and one third had been there for ten years or more. The majority of agency respondents considered this figure would either remain the same or slightly increase. No respondents indicated rates of turnover would increase. The reason most often given for retention of newer personnel, as

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PUBLIC DEFENDER

ORGANIZATION CHART

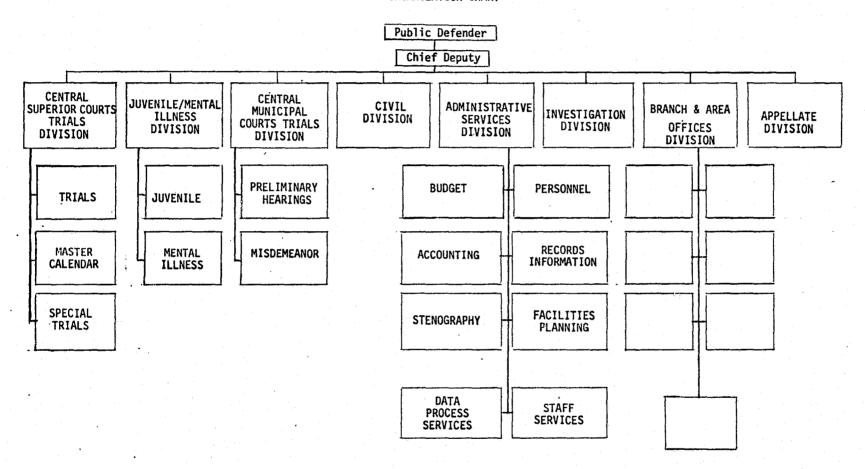


Figure VIII-VIII-2. Organization of defender services based on a divisional model.

opposed to higher turnover in the past, was the economy. We were constantly informed that, given the current labor market, attorneys who might normally seek to change jobs after a prescribed period of time were remaining in present positions. Additionally, because starting salaries and step increases during the first few years of employment were approaching parity with private practice, money was not as big a factor as it used to be.

Even given this financial picture, salary compensation and better opportunities on the outside were still listed as the most common reasons for staff attorneys' turnover. The only other variable directly related to turnover highlighted by respondents was promotional opportunities within the agency.

Promotional practices and opportunities within agencies followed a typical pattern of steps or attorney grades for most agencies visited. Some steps were established through civil service but most were unique to the agency as an entity separate from other county or state departments within the jurisdiction. Classifications were typically as follows:

Attorney level four: Usually considered the highest level and was typically reserved for the chief defender

Attorney level three: Usually included senior staff members who had supervisory responsibility including deputy defender and division or trial team heads

Attorney level two: A trial attorney or staff attorney with some experience in the agency (1-3 years) and proven proficiency at his or her work.

Attorney level one: A position usually denoting a new hire or attorney with only minimal experience and often considered a probationary status employee.

In order to make promotional decisions within defender agencies, our analysis revealed that the principal method relied upon was supervisory evaluation. As most junior staff are under direct supervision by senior counsel, it is the opinion of these individuals that normally governs advancement. The measures of performance criteria often include ability to handle oneself at trial and in relationships with judges, prosecution and clients, and overall competence.

In addition to promotion in rank or salary there is promotion in assignment. Young attorneys quite naturally are anxious not only to master skills but also to accept more difficult and more "major" cases. Very rarely will new attorneys remain satisfied in simply handling juvenile or traffic cases for very long. Here is where advancement and retention of personnel come into conflict. As agencies face the dilemmas of expanded caseloads, decreases in financial resources, and limited turnover at more senior levels, defenders who are ready to "move up" cannot do so. Because of these factors, stagnation can quickly set in. If slots are not available and new slots are not created, frustration in assignment can result in premature departure of qualified personnel. One method agencies are employing to resolve this situation is rotating assignments among staff. This method has met with mixed success. It is often difficult to tell a felony trial attorney with three years of experience who is looking toward senior attorney or team leader status that for the next six months his services are needed in misdemeanor court.

Finally, for those defenders who do leave defender services for some designated reason, some assessment was attempted to determine where they go. Respondents indicated that for the trial attorney with requisite experience, private practice as a litigator is the principal hire. Some defenders have resigned to assume similar or more senior positions in other defender services. Two agencies indicated members of their staff had recently resigned to accept judicial appointments.

4. Training and Education Policies and Programs

The information and substance of this report regarding the training of defense counsel, including public defenders, was developed from responses to the staff attorney training protocol and appropriate executive interview questions utilized in nine of 10 jurisdictions visited. In 90% of the jurisdictions visited, defense services were being provided by either local, county or statewide systems. Therefore, for purposes of this analysis, heavy concentration will be placed upon training within these organized systems. The variety of resources and services as well as the quality of training presently provided to private or assigned counsel systems will not be addressed here except as it relates to, or has been incorporated into, organized defender service programs. Finally, the key occupation for selected study in this area is the assistant defender or trial attorney. Therefore, the training and preparation of executive level or other personnel in defender services will not be the subject of this section.

a. <u>Preparation of New Hires</u>. As evidenced in the personnel section of this report, with the exception of a limited number of agencies who solicit experienced personnel, the majority of new staff attorneys are recent law school graduates. Unless these individuals have participated in internships or clinical programs, the majority of new hires have never appeared in a criminal proceeding before a court of record and do not possess the practical skills necessary to perform as defenders.

Unlike many prosecutor offices visited, a number of defender offices have senior personnel designated as full-time training coordinators. 14

Typically, in addition to training, these persons may supervise the intern programs and possibly some appellate practice functions of the office as well. These individuals or designees of agency chief executives when no full-time training director existed constituted the group of respondents from which the following information was gathered and summarized.

The nine respondents were initially asked whether they felt new hires were adequately prepared to perform the full range of duties required of the position. Eight of the nine respondents indicated new hires were not. These respondents' opinions of law school education represented a range similar to those of prosecutors. Namely, some considered law school was simply not doing an adequate job of preparing lawyers. The respondents considered law schools' emphasis on black letter law to be misplaced or misdirected. One trainer went so far as to say that not only are the schools failing to teach substance from a practical point of view, but they are not carefully teaching issue identification. The largest group of respondents felt that law schools provided an adequate substantive foundation but were totally ignoring the need for developing the skill necessary for practical application of criminal law and process. One director of a defender service proposed his "simple" solution to the problem. He concluded that law schools can provide all the substantive knowledge any prospective lawyer needs in only two years, therefore allowing the third year to be devoted to internships in a chosen, specialized area.

The final group of respondents considered law school was meeting its stated mission of teaching the law and not training practitioners as some would prefer.

Respondents were next asked to direct their attention to those subject or specialized areas in which new attorneys are deficient, and to indicate whether law school might provide these skills and knowledges. Without exception, each respondent identified skills related to practical application of law including trial practice, evidence and criminal procedure. Interestingly, those answering were evenly divided as to whether law schools should be meeting these needs. Many agencies recognizing these deficiencies have designed their training programs to meet this shortfall within the structure of agency operations and requirements. Others have indicated some reanalysis of certain law courses may be in order. As with prosecution services, a brief look at a few of these subjects may be of interest.

Law students, it was reported, many times don't even know some of the simple and basic principles of procedure such as where to file a case and what forms and motions should look like. While the respondents appreciated the obligations of law school to instruct in the law, the majority felt that the teaching of practical application would be of most utility to the student.

The opportunity to learn about the conduct of a criminal or civil trial during the course of formal legal education is typically offered through an elective called trial practice. This offering is different from most traditional courses in that it offers students the forum for and instruction in the preparation, presentation, and analysis of a case form its inception to final verdict.

In this laboratory setting, students must prepare motions, examine witnesses, make and properly support objections and present arguments before the court and jury on behalf of their client. With the exception of clinical opportunities, trial practice is the closest approximation to real practice students may get. Respondents would not only like to see more trial practice in the law schools but have expressed a willingness and desire to participate in the process.

Law school evidence courses typically look at evidence as a set of rules and expectations. Respondents all agreed that evidence-teaching formats should be focused on application of the rules, when to object, how to state and justify an objection, and why. Similarly, within the context of trail practice and evidence, students should learn when not to object even if grounds for valid confrontation of testimony exists.

- b. Agency Training for Law Students and New Attorneys. Eight of nine agencies visited provide some formalized training for law students and new attorneys. For purposes of description and analysis, this preservice training may be classified into four general categories: clerkships, internship programs, new-hire orientation training, and supervised initial training.

 Although each group of activities or training modules may be distinct, each seems to contain elements of the others.
- (1) Law clerk programs. The most simplistic or traditional program incorporates the tested principle of utilizing law clerks. The law clerk is a part-time law student who is employed on a full-time basis. As his or her time is not limited by class schedules or the necessity to master the essence of the job of defender in a short period of time, this method of preservice training may be protracted, specialized, and even highly individualized.

Common assignments or typical duties of clerks may include conduct of legal research, preparation of motions and drafting appellate briefs. As law clerks become familiar with one segment of office operations, they may be transferred on an as-needed basis.

The advantages of the law clerk system are twofold. Because clerks are full-time employees, their training and skill development need not be subject to the same pressures exerted upon part-time employees or new hires facing a waiting caseload. Second, clerks may work closely with senior staff as part of the formal office structure, thereby allowing them to be integrated into office operations and procedures while continuing to learn.

Defender services utilize clerkship programs to a much lesser degree than prosecutor offices in the jurisdictions visited.

(2) Intern programs. The newer or emerging programs utilized to train law students are clinical internships. These programs are usually offered to qualified law students who may devote as many as 20 to 35 hours a week and full-time during summers to learning a variety of tasks performed by defenders. The persons participating in these programs are usually full-time students who enroll in these clinics for credit and/or small stipends. Although the course of instruction and exposure for interns may be limited as with some law clerk programs, more typically these programs attempt to offer the student an accelerated, well-rounded exposure to the agency. Interns will come to know how charges are brought and filed, details of the processing and defending of a criminal case and will most probably participate in various functions from interviewing witnesses to the actual trying of cases. One clinical program visited was so satisfied with the quality and learned expertise

of their students, that all limited jurisdiction traffic cases (with minor exception) that required participation of the defender service were handled by student interns.

The actual elements, functions, and administration of these intern programs are almost as diverse as the agencies within which they are located. A program which places emphasis on exposure may rotate students throughout different divisions of the office on a weekly basis. Other programs observed tended to be more concentrated and allowed a student to spend an entire semester on a single function similar to that of the law clerk described above.

Typically, intern program administration will vary a great deal according to stated purpose and office organization. While measurement of successful programs must be carefully viewed in light of expected outcomes, from an administrative point of view, programs observed seemed most successful when they contained the following components:

- Screening and selection of student interns,
- Centralized coordination or direction by one individual, usually a senior staff attorney who devotes a major portion of his time to supervision of student interns,
- Structured assignments,
- Some element of formalized training,
- Programmed exposure to all activities and services performed by the prosecutor's office.

Although inflexible criteria for admittance to intern programs would probably be counterproductive, adherence to certain prerequisites tend to bring better qualified interns to the defender offices. At a minimum these requirements should include completion of courses in criminal law, criminal procedure,

and evidence. To the extent that grade point average reflects a high level of subject matter understanding and proficiency, this too should be considered. A number of respondents indicated some of the characteristics they look for when interviewing new hires, including a strong desire to work, a sense of confidence, an ability to present a good appearance, an ability to think on one's feet. These qualities may be desirable in intern selection as well although they are hard to define and measure objectively. Depending upon the way programs are organized and administered, the consensus was that students should first be screened by law school faculty and then referred to the defender's office for personal interviews and selection.

Centralized coordination of intern programs in defender offices may be performed by law school faculty in conjunction with the direct supervision provided by the defender office. When agencies provide senior personnel who devote substantial portions of their time to the program, better coordination and more efficient operations usually are said to result.

The advantages of centralized administration are many. One manager familiar with all of the requirements of the office for intern assistance can effectively place students and rotate them as needed. Second, students who may be experiencing difficulties with a specific attorney or assignment may consult with their coordinator for assistance or reassignment. Third, centralization allows for more time to look at some broader issues such as program evaluation, effective utilization of personnel, and most importantly, training.

A small amount of orientation training to allow interns to familiarize themselves with office operations and procedures is essential. Additionally, where rotation of interns is the operational model, this knowledge makes transition smoother and in the long run, represents a much better utilization of

limited time for both the defender and the student. Some offices have made concerted efforts to include students in seminars and weekly meetings held for professional staff. This not only gives the intern the assurance that he is an integral part of the operations of the office, it also serves as a means of education related to practical procedural and substantive problems prosecutors face.

Whether an intern program is based on a rotation or individually assigned basis, students generally seem most comfortable with and respond most favorably to more structured assignments of work—at least initially. This work plan allows the student to move more thoroughly and cautiously while being adequately exposed to the important aspects of his work environment. This method of distribution also permits more careful evaluation of products produced.

Some form of orientation and training was found to be beneficial to both intern and agency personnel. Many questions and misconceptions raised by interns can be responded to more easily when dealt with early, obviating the necessity of having to deal with them individually and more haphazardly throughout the course of the semester. In addition to regular meetings of all interns, sessions on topics outside of specifically assigned areas were observed. These might include anything from tours of the courthouse to attendance at line-ups and even an autopsy.

Most defender offices were not simply interested in having students do spade work. Rather, they preferred that interns be integrated into office operations and try, as time and practical needs dictate, to give interns as much exposure as possible to the multifaceted functions of the defender and differing elements of the criminal justice system.

From a very pragmatic point of view, intern programs are a benefit to defenders. For those offices that hire from their intern programs, training and orientation have been an ongoing process, and the costs of providing these services to new hires are offset in part. Screening and hiring of interns as attorneys upon graduation and admission to practice has become common. In a number of offices visited the majority of new hires over the last two years have come from the intern program.

The benefits to the student in this respect become obvious. In a limited market place, the new graduate, in a relatively short period of time, has established skills and abilities that make him or her a desired resource in a chosen area of interest. By the same token, students having had the opportunity to experience the operations of a defender's office that is principally engaged in trial work, may find that this is an area of the law they will not want to pursue.

Finally, students intern programs have been of great assistance to prosecutors offices faced with increased filings and with more complicated and time consuming matters. Some agencies have come to depend on interns to play a major role in trial preparation and assistance. Additionally, students who have proved themselves are continually called upon to defend cases, even some major felonies, where third year practice is authorized. Although no agency was able to measure what impact this has had in dollars, all have acknowledged that it has been substantial.

(3) New hire orientation training. Typically new hires in a defenders office may fit into one of three categories: the recent law school graduate with no experience, the recent law school graduate with some clinical

experience, or the practicing attorney with some trial experience. For those attorneys with some experience or a good deal of practical clinical experience, little training beyond the simplest orientation is normally provided. New attorneys fresh out of school or with some limited clinical experience participate in a more structured and longer orientation program.

The orientation training of new hires typically begins with an overview of office operations, practices, and procedures. If the office has a handbook and/or policy manual, these will be required reading and, along with case materials may constitute the only written matter new attorneys receive. If a training manual has been formally developed, it will usually contain the most recent policy and procedures memoranda written at various times by senior staff and will also contain opinion statements focusing on particular practices and points of law.

Depending on the organization of the office, the coordinator of new hire training may be a senior defender who devotes full-time to this activity or more commonly, the training coordinator may be a senior staff attorney who is in charge of a court of limited jurisdiction, the major trials (felony) division, or the appellate division.

Orientation is conducted by formal lecture, seminars, role playing and videotaped trial practice. But for the most part, after an initial indoctrination, new hires follow a prescription of observation, minimal participation and finally, supervised practice. Observation consists of watching attorneys for a specified period in the office and in the courtroom, performing various functions. After observing, training groups will reconvene and review and question observed practices. Even in the longest observation and orientation programs, new hires will move on to limited participation in a matter of

several days and will probably begin to handle minor matters under supervision within a few weeks.

Typically, first practice assignments will include traffic cases, juvenile matters and minor misdemeanors. Under the watchful eye of their coordinator during this phase, new hires begin to acquire one of the most important skills necessary for a new trial lawyer—confidence. The lower courts then, in some jurisdictions, act as the initial battle and training ground for new attorneys. As mistakes are made and new skills acquired and polished, new hires then begin to handle minor jury trials and engage in more lengthy and detailed examination of witnesses and cross—examination of parties. These initial assignments to juvenile or limited jurisdiction courts may then become the new defender's first permanent assignment and he or she can continue to train in this capacity for a period ranging from a few months up to a year or more. Movement to assignments of a more complex nature will then depend upon a number of variables, including ability to handle oneself in court, knowledge of the law and procedure, and very pragmatically, whether "open slots" are available.

In conclusion, respondents were asked how long it takes before a new hire is ready to assume the full responsibilities as a public defender. The estimates varied from one month to one year but most typically the trainers agreed that given the key variables of ability to handle oneself in court, and knowledge of the law, the average time for preparation was somewhere between five and eight months.

c. <u>Training for Incumbent Defenders</u>. The continuing education and training of incumbent public defenders is provided in a number of ways. In addition to in-service training offered within the individual agency itself, other resources utilized to improve defense skills include: county and state

defender associations, local and state bar associations, national training programs and self education.

(1) In-service agency training. Based on our limited surveys, the defender who has gained practical experience and expertise through case preparation and the trial of criminal cases, receives little formal in-service agency training. That which is provided normally may include no more than discussion of selected topics during the course of regularly scheduled staff meetings. In addition, some agencies regularly supplement these sessions with lectures or discussion group meetings held after normal working hours or on a Saturday. For these longer sessions or seminars, formal presentations on relevant topics are selected on the basis of need and interest, and presented to the group by members of the senior staff. Additionally, a number of offices invite guest lecturers (usually of the expert witness type) and may schedule visits and tours of various institutions and facilities and programs as part of their in-service program.

One source of "informal" education and training emerged as being highly relevant. This category might be classified as information gathering and exchange. It includes everything from reading current slip opinions to regularly having lunch with fellow defenders, and may in and of itself be one of the most vital training tools. The desire on the part of trial attorneys to keep abreast of the emergence and transition of substantive and procedural law is of paramount importance. One additional means of effecting this exchange is the ordered circulation of recent decisions, court findings and rulings.

Some offices, recognizing the value of this exchange, have centralized this function through their appellate or administrative division.

A small number of agencies visited had what might be called formal in-service programs. These programs were usually coordinated by a central administrative or training officer who also had responsibility for the training and supervision of law interns. Although these programs seemed well structured, and included seminars, guest lectures, etc., there was no real way of determining whether this method of providing in-service training was any more successful than those less comprehensive or structured.

(2) Local and statewide defender association training. Although the advent of statewide defender agencies is fairly recent, associations for defenders have been formed within many states. In addition to performing a variety of duties and services for its members, these associations have begun to offer continuing education programs for defenders and private practitioners within the state. Training provided by statewide and local associations is usually multifaceted. The most traditional of these utilizes the annual association meetings to present lecture, workshop and film sessions on selected topics of interest. If the association has a training coordinator, he will coordinate with the group's training and education committee to prepare presentations based on perceived need and interest. Normally, lecturers and workshop leaders are senior staff members from various offices throughout the state. Guest lecturers are often invited to address these groups and these persons are usually technical experts on a highly specialized subject area such as defense tactics, fingerprinting, lie detectors, forensic sciences, drug identification, examination of witnesses, etc. Keynote speakers are also commonly in attendance and they normally address the larger policy issues germane to defense practice.

In addition to the direct educational benefits derived from conference participation, materials are normally generated for distribution to non-attending assistants, including the production of cassettes and videotapes. One of the most important fringe benefits enumerated by a number of defenders interviewed was the opportunity to meet with fellow practitioners and to exchange information and strategy. These conferences provide the forum for some assistants with particular problems to seek and receive qualified technical assistance.

- (3) State and local bar associations. Similar in some respects to the course of instruction provided by defender associations are programs, seminars, and workshops offered by bar associations, centers for continuing legal education and law schools. Although defenders attend on occasion, these programs do not at the present time play a major role in their continuing education and training. This may shift in time as more states require certification for specialized practice or if state and local defender associations do not have adequate resources to meet their members' needs.
- (4) <u>National programs</u>. In the course of field interviews, national training organizations were identified and utilized by a number of the defender agencies. The most prominent is the National College of Criminal Defense Laywers and Public Defenders, and National Legal Aid and Defender Association Programs. Most agencies visited have sent defenders to these two-to-three-week summer programs and have attended activities held in various parts of the country on selected topics throughout the years.

Evaluation of these programs will not be attempted here; rather, what is of interest is how different agencies utilize and view programs. The typical agency sends anywhere from one to three defenders. Each year, in addition to

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the regular curriculum, special sessions are offered in office management and other executive type courses. Some offices determine who will attend by seniority, while others base support for attendance upon interest. Financing for the attendance of participants comes from a variety of sources including scholarships, training budgets, special requests for LEAA funds, and special requests for county or local funds.

The reason respondents gave most often about what other than money prevented them from attending national programs was release time. Most offices cannot afford to allow an attorney to be away from the office for a three-week period "simply for advanced training."

The majority of offices responding considered these programs to be valuable. Other respondents felt that the programs were too general to be of substantive value to their trial lawyers. However, both groups indicated they would like to continue to send their defenders and desired more support to be able to do so.

(5) <u>Self-education</u>. This last major input to a defender's continuing training for the performance of his or her job is probably the most difficult to quantify or describe. Many defenders interviewed during various phases of the occupational analysis indicated that they must continually read, discuss and evaluate cases, law reviews, and any other materials they can get their hands on to keep their skills sharp and their knowledge up-to-date.

5. Findings and Conclusions

The number of qualified applicants for defender positions far exceed the number of jobs available.

- Clerkship and intern programs are now providing the major source of new hires in a number of defender agencies.
- Law internship programs not only serve as a means for students to gain some practical experience, they also allow agencies to train and select future defenders.
- More women and minorities are now in law schools than ever before and consequently, more qualified applicants from these groups may become public defenders.
- Assignment and advancement within defender agencies will vary according to organizational model, caseload, geographic and other similar considerations.
- The average tenure of public defenders for agencies visited was three to three and a half years.
- Law students are not receiving enough practical knowledge to become public defenders in the majority of agencies visited.
- Most agencies are now providing preservice training for new hires.
- In-service training for incumbent defenders is still an area that needs improvement.
- Local and statewide defender associations are beginning to meet the shortfall that has existed in defender training needs.
- National training programs provide a limited but important training resource for defenders.

D. OCCUPATIONAL ANALYSIS

We visited public defender agencies in nine of the ten cities included in the National Manpower Survey; the tenth city did not have a public defender agency. It was decided that only public defenders would be asked to complete the data collection forms because it was not economically feasible to identify, select, and interview private defense counsel. Public defenders normally met with us in groups of three to five, and completed the forms during the conference. They agreed, however, that the tasks are the same, whether performed by a public or private defender. The results described in this section and summarized in Table VIII-VIII-3 were based upon data from 33 public defenders. Their median age was 32, two were female and two were black. They had been public defenders for an average of about 2-1/2 years but had been with the agency for four years, possibly a reflection of the increasing trend toward use of law students as clerks or interns prior to hire. All had law degrees and were admitted to practice.

Table VIII-VIII-3 shows the defenders' tasks, the percent who perform them, the amount of time spent, and where the tasks were learned. The last two columns of the table show the percent who credited college as the most important source of training, and the percent who felt they had had too little training. From the standpoint of education and training, the most notable thing about the Table is the apparent lack of relevance of law school to the defender's job. One might question whether changes in the law school curriculum would better prepare defenders for their roles. The defenders we interviewed thought not. Defenders, like judges and prosecutors, saw no need for changing the current



Table VIII-VIII-3

Summary of Responses to Task Checklist--Public Defender

Scale for Amount of Time Spent on Task:

1 = A very small amount of time

2 = A moderate amount of time

3 = A considerable amount of time

TASK	STATEMENTS	% Who do Task	Amount of time spent on Task (see scale above)	(ran Formal	nere learn ik order l College Course	,2,3) On the	% Ranking College as Important Training Source	Had Too
1.	Represents clients at police line-ups and interrogations.	67	1.0		ian Ran 2.7		1	44
2.	Interviews and consults with clients in order to decide on case objectives and report on progress.	100	2.4	2.0	2.6	1.0	0	39
3.	Represents clients at preliminary hearings	70	1.3	2.1	2,4	1.0	_0	30
4.	Represents clients at bail hearings.	82	1.5	1.9	2.8	1.1	0	29
5.	Interviews scene witnesses and officers who were at the scene of an alleged crime, officers of the Mobile Crime Laboratory, and other investigators.	91	1.8	1.9	2.6	1.0	6_	43
6.	Reviews and evaluates physical and testimonial evidence in a case in order to determine whether additional evidence is necessary in the preparation of a criminal case.	97	2.3	1.9	2.7	1.0	3	41
7.	Supervises or assists case investigators in order to establish facts and document evidence necessary in the preparation of a criminal case.	91	2.0	1.8	2.9	1.1	_ 0	37
8.	Consults with superiors, technical experts, and associates	100	2.1	1.8	2.7	1.0	_3	34
9.	Negotiates with the prosector and/or judge in order to have charges or sentence against his client reduced in exchange for a plea of guilty or to have the case dismissed for other consideration.	91	2.6	2.1	2.8	1.0	6	45
10.	Conducts legal research.	100	2.1	1.6	1.8	1.6	24	15
11.	Prepares, responds to, and files motions and/or memoranda in order to present a certain position prior to, during, or after trial.	100	2.0	1.8	2.7	1.2	9	42
12.	Orients witnesses in order to assure that potential witnesses have a basic understanding of the proceedings and allay anxiety that might confuse them.	88	1.8	2,0	2,8	1.0	3	48
13.	Interviews and evaluates prospective jurors.	. 75	1.8	1.9	2.8	1.1	3	38
14.	Represents clients at trial.	91	2.6	2.0	2.7	1.0		37
15.	Collects and evaluates information about client needs in order to plan and recommend dispositional alternatives in the best interest of his client.	. 91	2.3	2.0	2.8	1.0	3	38
16.	Represents client at sentencing.	91	2.3	2.0	2.9	1.0	3	45
17.	Prepares, writes, and files appeals.	33	1.1	1.3	2.0	1.3	6	43
18.	Determines grounds and represents defendants in seeking post-conviction remedies.	46	1.2	2.0	2.2	1.0	9	35
19.	Participates in conferences, lectures, and training sessions.	91	1.5	1.8	2.8	1.1	3	28

Scale for Amount of Time Spent on Task:

1 = A very small amount of time

2 = A moderate amount of time

3 ≃	Ac	onside	erable	amount	of time

			Tas	k: <i>J</i>	J - 7	Consider	able amount o)i (iiiie
TASK STATEMENTS		% Who do	Amount of time spent on Task (see	(ran Formal	ere learn k order l College	,2,3) On the	% Ranking College as Important	% Who had too little
		Task	scale above)	Training	Course	Job	Training Source	training
20.	Reviews and evaluates existing case load and calendar schedule in order to negotiate a practical calendaring of cases.	56	2.1	2.0	edian R	1.0	ll o 1	33
21.	Reads/evaluates/analyzes inquiries obtained from various sources, received in writing, and writes material in form of correspondence, reports, and records.	76	1.7	2.2	2.5	1.0	3	24
22.	22. Meets and communicates with LE/CJ personnel in order to keep his legal knowledge current, to enable adopting successful innovations, and to have a store of ideas for possible improvement in his work area.						3	24
			1.7	1.8	2.8	1.0	0	39
23.	Meets and confers with citizens, member of the LE/CJ system or offenders in order to help prevent crime and other violations of law, and to promote a general understanding of the authorities, responsibilities, and objectives of the LE/CJ organization and system	58	1,5	2.0	3.0	1.0	0	39_
24.	Supervises offenders in diversion programs	Q						
	and a second sec	9	2.0	2.0	3.0	1.2	- 0	40_
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curriculum. Presumably it provides the base of knowledge that underlies excellence in performance of tasks learned on the job.

Although the defenders completing the task and knowledge checklists were not asked to match knowledges with tasks, consultants retained following all data collection efforts did. With the exception of the general area "Knowledge of the Judicial System," which underlies all tasks, the consultants were able to match knowledges with tasks.

Column 7 of Table VIII-VIII-3 indicates the percentage of defenders who had had too little training in the tasks described. These percentages hover around 35-40%, a figure which seems high when one considers the importance of the job.

Wherever there was an intern program or any procedures that permitted law students to work in the defender office, there was high praise for both the value of the neophytes to the defender office and for the training value of the program to the neophyte. This appears to be the direction that preparation for the job should and will take in the future. It permits those with an interest in criminal law to gain firsthand knowledge and provides an excellent recruitment or selection pool for the defender office.

a. Tasks

Task i. Represents clients at police line-ups and interrogations by making and noting observations, raising objections to proceedings when necessary, advising client, and insuring objections are properly noted, using knowledge of criminal law, procedure, and police practices, in order to insure the protection of client's rights and to preserve the record if necessary in the defense of the client. Performed by 67% of respondents.

There are jurisdictional differences in the requirement for legal representation at line-ups and interrogations. Many line-ups are held before charging, negating the need for counsel. Our consultants felt that there seems to be a trend toward less protection at the line-up, partly due to a "chipping away" at principles of the Miranda decision, and partly because of more sophisticated police efforts. These include the establishment of the fairly new position of Police Legal Advisor and more careful police work: e.g., video-taped line-ups of all types of people, including accused, which will withstand challenge in court. Where line-ups are court ordered, there will be a requirement for a lawyer to be present.

Police have also noticed that people talk more when they have a lawyer present, improving opportunities for negotiation, so they are becoming more interested in having the lawyer enter the case early.

This task will probably not diminish over the next five years, but it does not appear to be expanding. Most of the defenders learned this task on the job and indicated that the task takes relatively little of the defender's time. Knowledges associated with this task include those involving police practices, local laws and procedures, defendant's rights, due process, and photography (as evidence of abuse of defendant).

Because of the low percentage (30%) learning anything about this task in law school and because 44% reported too little training in this task, it would appear that either academic orientation or formal job training would be of value to defenders who will continue to perform this task, or who may have to do it in the future.

Task 2. Interviews and consults with clients by asking questions about case facts, providing client with information about the law, legal rights, probable and possible case results, reporting any recommendations for and results of plea negotiations, in order to jointly decide on case objectives strategy and to report on progress. Performed by 100% of respondents.

Since this task includes the initial interview with the accused, it is a highly important task that should not be delegated to law students or interns, though such lower level personnel can be helpful in developing a case history. The defender, in the initial interview, is able to gather information while it is fresh in the accused's mind, and can confront the accused with the alternatives that seem open to him. Periodic consultation with the client is also important in maintaining a trust in the defender, and in development of the case.

This task will increase or decrease with the crime rate and use of public defenders. It is a necessary task and cannot be eliminated through technology or merger with other tasks.

It is one of the three most time-consuming tasks, and 96% of the respondents indicated that on-the-job training was the primary source of their expertise.

Task 3. Represents clients at preliminary hearings by advising client of rights, listening to evidence and information presented, presenting evidence, questioning witnesses, making motions, and raising objections, using knowledge of criminal law and procedure and trial tactics, in order to negate assertions of probable cause made against client, and to discover evidence and additional case facts. Performed by 70% of respondents.

The low percentage of defenders performing this task relative to those performing other tasks probably reflects jurisdictional differences. That is to say, counsel may have to request the hearing, and may be unwilling to do so because of the feeling that preliminary hearings are beneficial only to the prosecution. However, in other jurisdictions preliminary hearings have become mini-trials lasting up to a week or more and considered vital to the criminal process.

Interns and students, eager to perform in the arena normally will not waive a preliminary hearing, even when it is in the client's best interest. For this reason, defenders usually will not delegate this task. Our consultants felt that the time spent on this task may decrease, or at least will not increase. Changes in this task may be related to modifications in discovery practice in the future. Both job incumbents and job experts saw the Gerstan v. Pugh decision as having much impact upon the number of preliminary hearings in the future.

Task 4. Represents clients at bail hearings, by presenting witnesses, documents, bail investigation reports, providing evidence of community ties as applicable, using knowledge of the law as it relates to the setting of bail or release, and the facts regarding client and the offense charged, in order to establish acceptable conditions of release, recognizance, or bond in the best interests of client. Performed by 82% of respondents.

This task does not take a great deal of the defender's time, and it is one that respondents felt better trained to do than many of their other tasks, though the skill seems to have been acquired on-the-job. This task will probably increase in the future, though like others, it is caught in the crunch of cost vs. need. Its future will be tied to changes in bail practices, and will un-

doubtedly be affected by the public's disillusionment with the results of the Bail Reform Act. Time spent in bail hearings will also vary with the availability of jail cells, since lengthy hearings are of no value if there is no place to put the defendant if he cannot raise bail. Our consultants felt that the pretrial detention centers now being built by the federal government will also provide space to local jurisdictions, on a contract basis, to house additional non-federal defendants. This could affect the time involved in bail hearings at a local level.

Task 5. Interviews witnesses and officers who were at the scene of an alleged crime, officers of the Mobile Crime Laboratory, investigators and others by asking questions, reviewing reports, and using established procedures based on experience, in order to obtain evidence and establish its accuracy. Performed by 91% of the respondents.

This task is performed by nearly all defenders, but they do not spend a great deal of time on it. Law students and interns are often assigned some of these investigative duties. Defenders learned the task primarily through onthe-job training, and a substantial proportion (43%) reported feeling they had too little training for the task. Our consultants felt that the importance of this task will increase, "or should if it doesn't." The reason given is an increasing awareness that the wins are in the trial court, not the appeals court, so the trend is toward an extended investigative system, including a personal visit to the crime scene by the defender before the trial.

Our consultants, incidentally, felt that the 91% who reported doing this task is an exaggeration.

Task 6. Reviews and evaluates physical and testimonial evidence in a case information file by reading statements, examining evidence, visualizing the scene of a crime, and asking questions of officers, investigators, witnesses, and fellow prosecutors, using legal experience and knowledge of case preparation needs, in order to determine whether additional evidence is necessary and to properly prepare the defense of a criminal case. Performed by 97% of the respondents.

It is surprising that even one defender indicated that he did not perform this task. It is one of the more time consuming tasks, learned on-the-job, and along with Tasks 7 and 8, provide the information needed by the defenders to build the case. It seems unfortunate that 35-40% of the respondents felt they had too little training in these three tasks, because once he is in the courtroom it is too late for the defender to gather facts and evidence.

Our consultants felt that defenders should do more in the investigative area, not so much in the leg-work aspect of the task, but in identifying need for evidence or experts.

Since collection of evidence is not restricted to criminal cases, it would seem that the law schools might profitably attend to teaching students how to recognize gaps in their knowledge.

Task 7. Supervises or assists case investigators by making assignments, outlining details and case background, requesting investigators interview witnesses, examine the crime scene, take photographs, build models, collect physical evidence, etc., in order to establish facts and document evidence necessary in the preparation of a criminal case. Performed by 91% of the respondents.

It is not cost beneficial to use lawyers as investigators, so most defender agencies have some investigative personnel who can be of great help in developing the defense. Where the investigative staff is small and the lawyer must do a lot of the investigative work himself, the time spent on this task is, of necessity, short. Whether done by the defender or by an investigator, the the techniques are primarily learned on-the-job, and not a single respondent credited law school as the primary source of his expertise in this work.

Our consultants pointed out that the presence of investigators makes the defender less apt to accept the police report. The other side of this coin is that the presence of investigators might also improve the quality of the police investigative practices.

Task 8. Consults with superiors, technical experts, and associates after reviewing and evaluating case file information, evidence and the results of research, asking questions that will assess the accuracy, validity, and usefulness of information, in order to make accurate judgments and formulate further plans for case preparation or strategy. Performed by 100% of the respondents.

The 100% response to this task statement is not unexpected, and indeed attests to the validity of the data collection instrument. The nature of the consultation varies from one office to another. In some defender services, the chief defender has regular meetings with the full staff, discussing whatever matter is prepotent, be it conduct of a case, a point of law, a verdict, or, in many cases, combinations of these topics. In most defender offices visited there was considerable interchange among the attorneys, usually informal,

Our consultants felt that when turnover is high, and new young defenders are hired, consultation with superiors increases, since they are less trusting of advice from equally inexperienced attorneys. When turnover is low, resulting in a more experienced staff, the interaction tends to be more colleague to colleague.

The use of technical experts is often a function of the defender office budget, but they are generally thought to be very useful. There appears to be an increase in the use of technical experts, largely because of LEAA financial assistance, and more defender offices seem to be acquiring in-house capability.

Our consultants felt that younger defenders have a better feeling for science and technology and may be more willing to use technical experts. Since the median age of the defenders in the sample is 32, an age probably fairly representative of the total population of defenders, this suggests substantial use of technical experts. The consultants felt that there seems to be increasing use of psychologists as experts, primarily because of the growing concern for the rights of the retarded and emotionally disturbed defendants.

Task 9. Negotiates with the prosecutor and/or judge after reviewing case facts, evidence, and the merits of the case, consulting with client and considering probable court findings and possible alternatives, using knowledge of criminal law and procedure and the outcomes of cases based on prior negotiations, in order to have charges or sentence against client reduced in exchange for a plea of guilty or to have the case dismissed for other considerations.

Performed by 91% of the respondents.

This task, which covers plea negotiation is the subject of much controversy, and one of the three tasks for which the respondents felt least trained. What training they had, respondents reported as primarily of an on-the-job type. Plea bargaining is being blamed for criminals being on the streets and there is a groundswell among the public, founded in both knowledge and ignorance, to eliminate the practice entirely. Plea or sentence negotiation may decrease, partly as a result of the trend toward punishment, partly because of the population drop in the high crime age group, and partly because available detention space is increasing with new construction.

Election campaigns have been won recently by district attorneys vowing to eliminate plea bargaining. Our consultants, as well as prosecutors and defenders we talked to, believe it cannot happen. One factor is the prosecutor's budget—if it is low, he is more apt to bargain more cases. The consultants felt that plea bargaining will become sentence bargaining. Defendants are more interested in time than charge, and will bargain readily on this basis. They have also learned that it is harder to bargain with the parole board than with the prosecutor. As happens when any type of bargaining is possible, the "seller" overprices (in this case, overcharges) and thus encourages the practice. Plea bargaining and sentence bargaining are felt by the public to be the cause of many ills. If it is to continue, information might help overcome the public's dissatisfaction.

Task. 10. Conducts legal research by studying legal opinions of those courts relevant to defenders' practice, opinions of various other courts concerning cases relevant to case under consideration, changes in laws, new laws, and records of other relevant judicial and statutory authorities, noting specific



references, using his own knowledge and experience in selection of specific material, in order to anticipate and prepare arguments on legal questions and points of law for use during criminal proceedings. Performed by 100% of the respondents.

This task is the one defenders feel best trained for; only 15% reported they had too little training. The task is unique in that 24% indicated law school as the primary source of training in the task. Certainly it appears to be one that law schools would have to teach, and one which would be necessary in order to prepare for the bar examination. One might expect more than 24% to credit law school with this knowledge, but the percentage is high when compared with the fact that the next highest percentage crediting law school as the primary source of expertise is only 9%, on Tasks 11 and 18.

The need to do legal research requires, if it is to be done efficiently, a sizeable and expensive library. Our consultants pointed out that this need is a good argument for the existence of a public defender office. Young attorneys normally cannot afford such a library, newsletter subscription, etc., and many law firms do not have the material that can be provided by the public defender office. Legal research is another area where LEAA money has been very helpful, particularly in the development of computerized approaches and systems.

Task 11. Prepares, responds to, and files motions, subpoenas, and/or memoranda by conducting legal research, consulting with superiors and associates, reviewing case facts, evidence, and statements of witnesses, using knowledge of criminal law and procedure and local rules of court, in order to present or defend a certain position prior to, during, or after trial. Performed by 100% of the respondents.

One of only four tasks performed by all defenders responding to the survey, this task requires a moderate amount of time and is learned primarily, like most others, on-the-job.

Our consultants felt that the time spent on this task will increase over the next few years.

Task 12. Orients witnesses, using own experience and ability, such as using prepared outlines and diagrams, simulated courtroom procedures, discussing difficult questions that may arise during the trial, explaining courtroom terminology and rules, giving instructions regarding behavior in court, in order to assure that potential witnesses have a basic understanding of the proceedings and allay anxiety that might confuse them. Performed by 88% of the respondents.

This task, while not among the most time consuming, is the one for which the largest percentage (48%) reported they had had too little training. The distinction they must make is between orienting the witness, quite an acceptable and sometimes necessary practice, and leading the witness, which is not acceptable.

Our consultants did not see any trend in this task--"it's just something they do."

Task 13. Interviews and evaluates prospective jurors by listening to or engaging in voir dire, and asking questions to elicit personal facts, opinions, and beliefs upon which to base judgments concerning bias or prejudice, raising objections and using peremptory and cause challenges to dismiss those candidates found unsatisfactory, and debating with opposing counsel where candidate accept-

ability is in question, in order to assist in the selection of a jury, considering the defendant and the legal and factual issues in the case. Performed by 75% of the respondents.

This task is not performed by all respondents, probably because of jurisdictional differences in procedures for selecting jurors, or because of stage representation practices. Very few respondents credited law school as the primary source of their training in this task.

Our consultants felt that there is a trend toward using psychologists as consultants in evaluating jurors. Recent publicity in this usage of psychologists may accelerate this trend. The consultants also pointed out that a jury that has convicted once finds it easier to do the next time. Consequently, defenders try to set trials with questionable outcomes for early in the month (new jury) while prosecutors aim for the end of the jury's tenure.

Task 14. Represents clients at trial by presenting statements, examining and cross-examining witnesses, making motions and objections when appropriate, finding defects in the prosecutor's case, using arguments, knowledge of case facts, criminal law and procedure, trial advocacy, logic, technical experts, exhibits, and results from investigative and legal research, in order to provide the best possible defense for the client. Performed by 91% of the respondents.

This task and the negotiating task are the two most time consuming tasks. As caseloads increase, the time taken will also increase, and if plea bargaining is reduced, the time taken on this task will require additional defenders if the accused are to have speedy trials. None of the respondents credited law school as the primary source of training, and nearly all reported

on-the-job training as their primary source of training. The internship programs are particularly valuable in acquiring courtroom skills, and training in the public defender's office is felt to be superior to training obtained by private counsel.

Task 15. Collects and evaluates information about client needs, by making observations, interviewing client, family, etc., requesting and reviewing medical reports and social histories, conferring with resource specialists, and others, and receiving social service input as necessary, in order to plan and recommend dispositional alternatives in the best interest of the client. Performed by 91% of the respondents.

This task takes a moderate amount of time and is generally learned on the job. The caseload of most public defenders does not permit a great deal of time to be spent on this task, so if the need increases, it will be necessary for much of the work to be performed by lower level personnel, though at the attorney's request. Our consultants indicated that lawyers and social workers should use each other properly, with mutual respect for each other's expertise. They suggested that there is a tendency for lawyers to over-instruct ("Here's what I want you to find out") rather than to permit the social worker to develop a plan based upon more extensive knowledge of the alternatives.

The trend is toward less probation, and dollars for probation will be reduced so this task is not expected to expand. The consultants felt the 91% participation in this task may already be a reflection of fewer probation personnel. They also indicated, however, that most judges are impressed when the defender presents a well worked out plan, so lawyers may feel the need to perform this task themselves in the best interest of their clients.

The opportunities for innovative probation plans will not be helped by the public's disillusionment with probation, and its unwillingness to have community-based facilities for convicted criminals. Communities willing to accept them are not often the type of communities that would enhance rehabilitation.

An interesting sidelight mentioned by the consultants is that marijuana and auto accident prisoners are a welcome addition to the jails, because they are well-behaved, help other prisoners, and serve as positive models for other prisoners.

Task 16. Represents client at sentencing, by presenting evidence, answering questions, proposing alternatives to the court, and explaining any extenuating circumstances, using his knowledge of the law, alternatives to incarceration, community resources, and other information in order to urge the court to make a disposition most advantageous to the client. Performed by 91% of the respondents.

Already taking a substantial amount of the public defender's time, this task is expected to take even more time in the future because it is expected that there will be more sentencing, and more variation in sentencing, though our consultants believe the general trend is toward longer sentences, again reflecting the public pressure to keep the criminals off the streets.

Task 17. Prepares, writes, and files appeals on behalf of client, after consulting with client, and reviewing the trial record, conducting legal research, consulting with superiors and associates, using knowledge of criminal law and procedure and the rules governing appeal, in order to advocate reversal, reduction, modification of the court's decision. Performed by 33% of the respondents.





The consultants felt the 33% response was "incredibly low," since the amount of appellate work seems to be increasing. It may be that this is a specialized task performed by only a selected group of defenders or through a separate appellate division. Since the consultants also indicated that this task is a good place to use law students or interns under supervision, it may be that subordinate personnel already are performing the task in some of the jurisdictions in the sample.

Task 18. Determines grounds and represents defendants in seeking post-conviction remedies by reviewing case and trial records, consulting with client, associates, superiors, and others, presenting witnesses and testimony, using his knowledge of the law and proper bases for vacating or modifying the judgment, in order to adequately advise and represent client regarding post-conviction matters. Performed by 46% of the respondents.

This task was felt by the consultants to be one which could be done by law students and interns, under supervision of an attorney. Apparently this is already happening, because it is the legal task performed by the smallest number of respondents. The task is learned primarily on the job and does not take much of the defender's time.

Task 19. Participates in conferences, lectures, and training sessions, exchanging information, discussing new developments, recent decisions, and practicing trial presentation and tactics, in order to assist others, keep abreast of new developments and to sharpen skills in advocacy. Performed by 91% of the respondents.

The consultants felt this task should and would increase. Since there is a relatively high turnover in defender offices, especially in a tight labor market, training will always be the need for training. Changes in the law and changes in crime types and rates will also continue to demand training.

Task 20. Reviews and evaluates existing case load and calendar schedule, identifying cases where additional evidence, investigation, or other requirements are necessary, talking with opposing counsel and other law enforcement/criminal justice personnel, estimating time for resolution of legal issues and problems of certain cases, using case assignments, previous calendar schedules, knowledge of various cases and experience, in order to establish a practical calendaring of cases. Performed by 56% of the respondents.

For those who perform this task it takes a considerable amount of time. The consultants pointed out that there is a need for continuity in the system. The attorneys are most aware of what is feasible, but quotas are often set by others less knowledgeable about the needs. The result is often that the defender acts on what is prepotent, juggling cases and schedules to perform what needs to be done for each client.

Task 21. Reads/evaluates/analyzes inquiries obtained from various sources, received in writing and orally, and writes material in form of correspondence, reports, and records, using format and procedures prescribed, but drawing on own experience and knowledge for the data to be used, in order to respond with appropriate information. Performed by 76% of the respondents.

It is surprising that this task was not checked by all respondents, since it is difficult to believe that a defender would not receive inquiries about his cases, or have to report on his activities.

The consultants felt that the use of dictating and recording equipment should reduce the amount of time required for this task.

Task 22. Meets and communicates with LE/CJ personnel, singly or in groups, or at professional meetings, discussing mutual problems and innovations, using

professional knowledge and experience, in order to keep legal knowledge current, to enable adopting successful innovations, and to have a store of ideas for possible improvement in his work area. Performed by 58% of the respondents.

This task includes both scheduled professional meetings and informal exchange of new information, so it is surprising that the task was checked by only 58% of the respondents. Although the tasks on the second page of the questionnaire (20-24) are the less important and less case-oriented tasks, one must wonder whether some respondents, weary of the assignment, might have checked that they did not do the tasks rather than answer the remaining questions about these tasks.

The consultants felt it would be of benefit to all concerned if there were more participation by police, prosecutors, and defenders in each others' training and meetings.

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Task 23. Meets and confers with citizens, members of the LE/CJ system, offenders, giving formal and informal talks explaining the functions of the LE/CJ system, responsibilities of all citizens, the operation of due process, and other legal concepts, using own knowledge and experience, official and other publications, and conversations with other knowledgeable persons, in order to help prevent crime and other violations of law, and to promote a general understanding of the authorities, responsibilities, and objectives of the LE/CJ organization and system. Performed by 58% of the respondents.

This is a public relations task primarily, that does not take a great deal of time. Nor did our consultants feel it should, because it takes away from operating resources of the public defender's office.

Task 24. Supervises offenders in diversion programs, by counseling, monitoring behavior, and assuring conditions of diversion are met, using knowledge of the program objectives and the needs of the individual client, in order to assist in the successful diversion of offenders from the formal processes of the criminal justice system. Performed by 9% of the respondents.

Very few defenders perform this task. It is perhaps better performed by social workers trained for the job. It is not likely that this task will increasingly become part of the defender's job.

b. <u>Training Implications</u>. Table VIII-VIII-4 lists the knowledge required by public defenders. Following each knowledge are the numbers of the individual tasks for which the consultants reported the knowledge is relevant. It is not surprising, however, that knowledge of defendant's rights, the elements of a crime and the rules of evidence are the three knowledges required most often. But virtually every knowledge is needed for some task, so these data do not suggest that changes can be brought about by elimination of any of the currently taught knowledges and skills.

The public defenders who participated in the study provided ratings on the level of various knowledges required for capable performance on the job and the level of knowledge normally found in newly hired defenders. These data are shown in profile form, in Table VIII-VIII-4. The discrepancy is about the same for most knowledges, so training after hire seems appropriate in all areas. Much of this training, according to job incumbents and experts, also has to be done on-the-job. Nothing can adequately simulate, a real courtroom with a real judge and an accused individual whose future is at stake. Changes in future training of defenders might best be geared toward assessing the best way to provide experience under supervision of a competent colleague.

Table VIII-VIII-4

Summary of Responses to Knowledge Checklist--Public Defender

Α.	Kno	owledge of the judicial system
	1.	organization of the judicial system
	2.	role of the court in the administration of justice all tasks*
	3.	role of law enforcement
	4.	role of prosecutors, defenders, judges
	5.	the corrections process/probation functionall tasks*
	6.	interrelationship of the courts to other components of the system
	7.	the adversary process
	8.	the jury function
	9.	the juvenile justice system
	Kno	owledge of jurisdictional rules and procedures
	7.	court rules and forms
	2.	the screening and charging process
	3.	the processing of a criminal case
		owledge of criminal law rules, theory and ocedure
	1.	laws of arrest
	2.	juvenile law and procedure 2, 3, 5, 6, 7, 8, 9, 10, 11, 12, 13, 14, 15, 16, 18
	3.	lineups and identification
	4.	probable cause/causation 3,5,6,7,
	5.	search and seizure 3,5,6,7,10,14,17
	6.	suppression of evidence 3,5,6,0,14,17

JOB REQUIREME Level require for capable performance							<u>T;</u>	Lev	el c	of ty	NCY pica ned	_
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^{*}Numbers indicate tasks for which knowledge is required.

7. rules of discovery 8. rules of evidence 3, 5, 6, 7, 8, 9, 10, 11, 14, 17 9. the right to counsel 1, 4, 18 10. due process rights 1, 3, 4, 13, 14, 23, 24 11. plea negotiation 2, 5, 6, 7, 8, 9, 12. the elements of a crime 1, 2, 3, 4, 5, 6, 7, 8, 9, 10, 11, 12, 13, 14 13. mental competency/criminal capacity 2, 8, 10, 11 14. insanity pleas 2, 8, 10, 11 15. affirmative defenses 2, 5, 6, 7, 10, 14, 16 special defenses 2, 5, 6, 7, 10, 14, 16 17. diversion 2, 4, 9, 10, 15, 16, 24 D. Knowledge of case preparation practices 1. use of subpoenas 2. interviewing techniques 2, 5, 6, 7, 11, 13, 15 3. review of physical and testimonial evidence utilization of investigative techniques 4. criminalistics 5, 6, 7, 8, 13, 14 5. photography 1, 2, 6, 7, 14 6. model building 2, 5, 6, 7, 8, 13, 14 7. forensic medicine and sciences 2, 5, 6, 7, 8, 9, 10, 14 8. policy regarding exercise of discretion 9. selection of evidence for presentation 2, 3, 5, 6, 7, 8, 9, 10, 11, 12, 13, 14, 16, 17, 18

JOB REQUIREMENT:

PROFICIENCY:

Level required for capable performance

Level of typical newly assigned personnel

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^{*}Numbers indicate tasks for which knowledge is required.

E. Knowledge of legal research techniques 1. sources and understanding of laws, case materials, precedents 8, 10, 11, 17, 21, 22 2. recent decisions 8, 10, 11, 17, 19, 21, 22 3. use of legal journals, encyclopedias, digests, reporters, etc. 8, 10, 11, 17, 19, 21, 22 4. sheppardizing 8, 10, 11, 17, 19, 21, <u>2</u>2 F. Knowledge of legal writing 2. motion drafting 4, 6, 11, 14, 17, 18 3. opinion writing 4. format requirements 5. uniform citation methods drafting of orders 3, 5, 6, 7 7. complaint preparation G. Knowledge of legal proceedings 1. pretrial motions 2, 3, 4, 5, 6, II 2. warrant issuance 3. grand jury proceedings conduct of preliminary hearings 4. defendant rights 1, 2, 3, 4, 5, 6, 7, 8, 9, 10, 11, 12, 13, 14, 15, 16, 17, 18, 23, 24 5. rules governing examination of witnesses 3, 5 6. police practices 1, 2, 5, 7 rules governing probable cause 2, 3, 5, 6, 7, 10,

JOB REQUIREMENT:

PROFICIENCY:

Level required for capable performance

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^{*}Numbers indicate tasks for which knowledge is required.

8.	filing motions 2, 3, 4, 5, 6, II, I3
9.	arraignment, entering of pleas
10.	rules governing pleas
COI	nduct of bail hearings
11.	rules governing the setting of bail 2,4,7
12.	conditions of release
13.	community resources 4, 15, 23, 24
14.	pre-trial investigation 2,4,5,6,7
15.	bail review proceedings
H. Condu	ct of trials
1. co	urtroom decorum
2. qu	estioning of and impaneling jurors
3. or	ienting jurors and witnesses
4. ad	dressing the jury
5. ex	amining witnesses
6. ma	king objections, motions
7. ru	ling on objections
8. tr	ial tactics 3,9,13,14
9. us	e of expert witnesses 5,6,7,8,10,11,14
10. ju	ry instructions
11. cl	osing arguments 2, 5, 6, 7, 8, 10, 14
12. cc	ontempt powers
13. 16	egal and judicial ethics 8,10,21
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JOB REQUIREMENT: PROFICIENCY: Level required Level of typical for capable newly assigned performance personnel Moderate Sight -(SIjght 4 None High Median Rank Median Rank Ε H. N M N M E Н М N S N E H) М Ε N Ε М S N Н М N Ε M S N E Н M H E S М N E М N Н N S Ε E H. M N Н М E E S N Н М N М N М S N E Н М E H E S N S N Н E М E Ν S Н M N E Н М N S E N H М М M N Μ S N Ε Н Εø Н Ε H М N S N E Н M N E M S N Н E М N E H S N Ε М N S E H M Ē М N Ε N S E M N H M S E Н E M N M N S E N H М N E S E N H M E М N

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^{*}Numbers indicate tasks for which knowledge is required.

ı.	Kne	owledge of sentencing practices
	1.	pre-sentence investigations
	2.	sentencing alternatives
	3.	bifurcated trials
	4.	dispositional planning 8,15,16
	5.	sentencing hearing/pronouncement
	6.	rules governing probation 18,24
	7.	classification and assessment of offenders
J.	Kn	owledge of appellate practices
	١.	court rules governing appeal
	2.	prepare motions, memoranda
	3.	oral advocacy
	4.	habeas corpus, corum nobis
	5.	post conviction remedies
	6.	laws related to detainers
Κ.	. Of	fender related knowledges
	1.	drug or alcohol abuse
	2.	minority culture 2, 8, 12, 15, 21, 23
	3.	urban sociology 2, 8, 12, 15, 21, 23
	4.	counseling techniques _2, 8, 12, 15, 21, 23, 24
	5.	juveni le 2, 5, 15, 21, 23
	6.	mental health 2, 5, 8, 15, 21,

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^{*}Numbers indicate tasks for which knowledge is required.

JOB REQUIREMENT:

PROFICIENCY:

				_	Level of typical newly assigned personnel									
				High	Mode	Slice	None	.//	Expert	High	Modera	Slight	None	
	7.	educational needs assessment and services	E		dian I		N		Ε	Med H	lian R M	S	N	
	8.	vocational needs and services 2, 8, 15, 21, 23, 24	E	Н		s	N		E	Н	М	\$	N	
	9.	investigative methods & practices -2,5,7,15,18,22	E	H	М	S	N		E	Н	М	8	N	
L.	Kno	owledge of administrative matters		\										
	1.	personnel management 19,21,22	E	Н	M	S	N		E	Н	М	S	N	
		case flow management	Ε	H.	М	S	N		E	Н	М	S	N	
	3.	fiscal management 19, 21, 22	Е	Н	1	S	N		E	Н	M	S	N	
	4.	space and facility management	Ε	Н	M	S	N		E	Н	М	S	N	
		jury management	E	Н	4	S	N		Е	Н	М	S	N	
	6.	systems management 19, 21, 22	E	Н	1	S	N		E	Н	М	S	N	
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1. Findings and Conclusions

- Law school is not currently providing the practical skills necessary for students to become qualified public defenders. However, the proper role of law school education in the preparation of defenders is still a subject of constant debate.
- It appears that most public defenders in the future may emerge from intern programs in many jurisdictions.
- The list of tasks developed for the projects adequately covers the position of defender, though changes in the relative amount of time spent may change in response to changes in case loads or public pressure for total system change.
- Time spent on and expertise required for specific functions or tasks such as negotiation of pleas and conduct of trials may vary a great deal in the future depending on changes in policy by the prosecution and the courts.

E. ANALYSIS OF SIGNIFICANT TRENDS OR INNOVATIONS AFFECTING FUTURE AGENCY MANPOWER NEEDS

One of the major objectives throughout the course of this study was to identify any significant trends or innovations affecting criminal justice manpower training and education and attempt to measure the current and expected future impact these trends might have upon agency and system needs.

Initially, current literature, annual reports and special studies were reviewed to identify possible trends. Lists were compiled and reviewed by teams of consultants. In addition, national associations in appropriate topical and occupational areas were solicited to review selected topics for their refinement and final selection. Those activities or topics finally chosen were addressed by field survey data collection efforts in two ways. The primary method utilized was through the development of an activity checklist simply listing thirteen potential organizational, functional, training or educational activities or trends that might have been experimented with, currently in practice, under consideration, or scheduled for implementation in the future. On the scale exhibited in Figure VIII-VIII-3, respondents, who were typically chief executives of the agency, were asked to rate each activity. Additionally, to measure projected possible manpower implications, respondents were asked to rate probable changes in these activities over the next five years using the scale pictured in Figure VIII-VIII-4.

- 1 = Yes. Will definitely continue to do this.
- 2 = Yes. Will continue to do this if funds are available.
- 3 = Yes, but uncertain whether we will continued to do this.
- 4 = Not yet, but plan to do this in the near future.
- 5 = No. Would like to do this but have not been able to.
- 6 = No. No plans to do this. Uncertain of the value.
- 7 = No. Have tried it and dropped it.
- 8 = No. It is not suitable here.
- 9 = Don't know anything about it.

Figure VIII-VIII-3. Scales utilized to indicate status of activities in defender agency.

- +3 = Increased activity will be <u>dramatically more</u> than it is now.
- +2 = Increased activity will be <u>somewhat more</u> than the increase in workload.
- +1 = Increased activity will be proportional to workload increases.
 - 0 = No increase in activity of this type is expected, even if the workload increases.
- -1 = There will be a mild decrease in activity of this type.
- -2 = There will be a <u>considerable decrease</u> in activity of this type.
- -3 = Activity of this type will be <u>dropped</u>.

Figure VIII-VIII-4. Scale used to indicate probable changes in defender activities over the next five years.

In addition to rating and briefly analyzing thirteen specific topics identified in the checklist, two of these activities, pretrial and diversion services, and the utilization of paralegals, interns or volunteers, were selected for more intensive study. The findings of these intensive efforts will follow the rating and analysis of possible implications for the large class of activities. Finally, among the activities listed, three related directly to education and training and were, therefore, incorporated into the training and education sections of this chapter.

The first activity to be discussed is whether agencies visited were providing any social services or disposition planning for defendant clients.

The literature revealed that a number of agencies had been engaged in offering a full range of social-type services to clients, including employment counseling. Defendants who were referred to the defender service often had social, psychological or economic problems directly or indirectly related to their offense charged. Attorneys had begun to utilize social work staff affiliated with their offices to assist clients with immediate needs. Efforts of this type on behalf of defendants often led to acceptable dispositional plans when offered to the court as an alternative to incarceration.

Of our eight responding agencies, three indicated they provide such services and will continue to do so; one indicated they do so but continuation is contingent upon continued outside financial support; two agencies do not presently do so but would like to in the future if monies become available; one agency did not do so or plan to do so in the future, and one agency did not respond.

Although our principal concerns for future manpower requirements normally concentrated upon demands of incumbents in key occupations (in this case the assistant public defender), overall agency needs must be considered as well. For this activity, the future demands will be for caseworkers, social workers, alternatives counselors, and the like. All agencies considered demand would either remain in proportion to current caseloads or slightly increase. For most offices visited who provide such services, normally no more than a few people are employed to perform this function. However, one agency had alternative workers assigned to each trial team to provide an integrated and coordinated full service package to its clients. Although this activity will probably

continue to expand as funds become available and programs become institutionalized, its impact upon attorneys time will probably remain the same and even decrease in those jurisdictions where counsel is presently providing this additional service to clients. Attorneys interviewed regarding this social service component thought it was both beneficial to the client and to the quality of defender services offered.

The advent or <u>utilization</u> of <u>computers</u> or computerized management systems for defender services seemed to have little to no impact in the agencies visited, although it may be emerging in the next five years. Only one agency indicated it had any computerized management capability, but three indicated they plan to in the near future; two indicated they would like to but have been unable to do so; one indicated they had no plans to do so, and one did not respond.

While respondents did not consider computerization to have more than a minimal impact on manpower needs with the exception of a demand for programmers and operators, from a management point of view they would be welcomed. Most agency administrators do not have the capability within existing systems to accurately measure case flow, the quality of performance, the results of that performance or the ability to systematically evaluate future needs based on firm numbers. Many chief prosecutors believe this is a necessity but do not have the in-house capacity or resources to develop and implement such a program. A number of these executives stated we do not have a "PROMIS" system like the prosecutors do, while others are presently participating in local, regional and statewide plans to implement criminal justice statistical systems that will include some of the defenders' needs.

In a related but separate trend question, we attempted to determine the status of automated legal information systems for defender services. Of the

seven responding agencies, two indicated they had no information system but were planning to get one in the near future; one indicated they would like to have such a system but had been unable to do so, and the remaining four agencies indicated they had no plans to do so and were uncertain of its value. Many factors come into play when discussing automated research techniques. Some agencies simply do not have much research or are too small to justify the expense of such a service. Some agencies, which are larger in size and have research needs on a continuing basis, prefer more conventional methods of searching for relevant legal precedents and references. Many agencies responded that they expect all trial attorney staff to keep current with all recent developments in the law, and may rely upon clerks or interns to provide whatever back-up support is needed. For those agency executives who were thoroughly familiar with already existing automated research systems, such as LEXIS, the conclusion most often drawn was they would be nice to have but are expensive and not very high on the list of office priorities.

The next group of activities respondents were asked to consider for present and future manpower implications are more closely related to policy, procedure, and office practices rather than purely innovative agency practices. The first of these is the establishment and management of assignment of counsel for indigents. If the six services responding to our questions regarding assignment practices, three agencies made the initial determination of indigency and in essence, controlled indigent counsel assignments in their respective jurisdictions; in the other jurisdictions, this was the responsibility of the court. There has been great debate among defenders as to the proper assignment practices.

Agencies are equally divided about the efficacy of defenders making initial assignment determination. For agencies that represent the majority of indigents

and control privately assigned panel attorneys, initial screening by the agency seems logical. For jurisdictions comprised of more mixed systems some other agency of the court may be more appropriate. Certainly for agencies that must carefully monitor caseloads, this may be a vital function. In either case two important factors emerge related to this issue that must be provided for. First, careful screening must be maintained to insure that only those who cannot afford counsel are receiving publicly supported representation. Good screeners and criteria that may be quickly verified are necessary to insure this is done. Second, regardless of who makes the initial determination, the final authority on appointments must rest with a judicial officer of the court in order to insure that the rights of the defendent and counsel are protected.

Agency executives were next asked whether they had drawn up or established formalized plea negotiation policies or procedures for the office. Of the seven respondents only one indicated they did while the majority indicated they did not and had no plans to do so. One agency indicated that such a practice was not suitable for defender agencies. Executives repeatedly indicated that individual staff attorneys knew exactly what they were to do and knew the parameters of negotiation by the office. No manpower implications were implicit in this task according to respondents.

The last of the policy or practices tasks related to requirements for or the necessity of agencies having evaluative or applied research conducted in their agency and whether there were any systematic long range plans based upon data collection or analysis. In both instances respondents were negative in their answers regarding present or future need for these services. This points up one of the observed deficiencies of defender services and most agency components visited throughout the course of our field work. That is,

there is very little, if any, planning or planning capability within the system, Agencies for a variety of reasons, including manpower, resources and lack of specific understanding, do not systematically plan. Of course, some might argue that the variables upon which planning is based are too unpredictable, although in the future if agencies within the system expect to do more than simply hold back the waters of rising caseloads, some measure of comprehensive planning must be achieved.

During initial phases of data gathering on selected trends two topics continued to receive continued attention and were therefore noted for special or more intensive effort. These trends were the operation of pretrial services and/or diversion programs by defender agencies and utilization of paraprofessionals or volunteers. Within the context of the latter category law interns were included but are deleted here because they have already been addressed in the personnel and training sections.

Pretrial services and diversion programs are actively utilized in five of eight jurisdictions. Four of these agencies will continue to utilize these programs and the fifth will do so dependent on funds not under their control. Two agencies do not presently utilize such programs but hope to do so in the future, and one agency has no plans to do so and questions their utility. None of the agencies was operating pretrial and/or diversion programs but rather took advantage of the services offered by court-related and private service agencies. These services cover a wide range of activities and are utilized for a number of purposes.

The first category of services is represented by the pretrial bail or release organizations. Typically these groups interview, investigate and screen denfendants soon after arrest. The ability of these agencies to make recommendations to the court regarding

pretrial incarceration or release can substantially affect the type and quality of representation defenders can offer to clients.

The second category of services might be called pretrial programs. These efforts usually offer the defendant and the court various alternatives and programs including vocational, educational, and counseling programs pending trial. The period prior to the formal adjudicatory process has become increasingly important to defenders for two reasons. First, client access is facilitated, and second, successful participation can have a direct impact upon the deferrment of prosecution or a yiable alternative to incarceration, should the defendent be adjudicated guilty.

This then leads directly to diversion programs. Although no offices visited maintain their own programs, a number of defender services throughout the country do. This practice has received both praise and criticism but its relative merits or shortfall will not be discussed here. Given certain caveats and adequate protection for both client and counsel, diversion programs are considered highly beneficial by defense agencies. However, care must be continually taken to insure that actions by counsel regarding defendants and diversion are in the client's best interest. For example, in some jurisdictions drug treatment programs exist as a pretrial alternative to conventional means of adjudication. Clients who may be heavy users of controlled substances may be offered admission to programs in lieu of formal processing. While defense counsel might initially view this diversion as beneficial in light of current charges pending against his client, counsel must be extremely careful before recommending such an alternative. Some defenders who have had extensive experience with diversion programs find that the conditions imposed and the restrictions required may often be more detrimental than waiving diversion and "taking your chances at trial."

Measuring diversion and pretrial programs in light of manpower needs for defenders is extremely difficult. No agency could estimate or predict whether staff attorney manpower needs would increase with the advent of diversion programs. Certainly if trial preparation and court time is avoided a recognizable savings is achieved. At the same time, if attorneys must now spend time screening potential programs, evaluating their benefit and advising clients, this time savings may be offset. All that can definitively be said is that diversion programs will continue and defense attorneys will continue to utilize them in the client's best interest.

In the final area for analysis we concentrated on a topic identified by many as the most important emerging or new occupation in both prosecution and defender offices: the paralegal. Although their utilization for traditional lawyering tasks is more prevalent in prosecutor than defender offices, in six of seven defender agencies responding, all indicated they either have paralegals, will have them in the near future, or would like to do so but have been unable to do so. Paralegals have simply been defined as non-lawyers who do work traditionally performed by lawyers. Although more prevalent on the civil side, defense services are employing paralegals or trial assistants to perform a variety of functions. During our visits we did not concentrate upon those members of clerical staffs who assist attorneys with many things, but rather inquired about positions created or already in existence to aid counsel in client representation. We further distinguished between paralegals and law interns who are typically law students preparing themselves for a career as attorneys.

Although there were examples of paralegal tasks being performed in many places, the most comprehensive and impressive format was one office's utilization of trial assistants. This program was begun two years ago with four

volunteers serving an attorney staff of thirteen. Presently, because of their "popularity," indeed their indispensibility as some attorneys have characterized their role, there is now one trial assistant for each attorney in the felony division and a pool for misdemeanor counsel. Their duties and responsibilities are to act almost as the attorney's alter-ego. They become involved in cases as they are assigned and take part or observe procedures starting with initial interviews of clients and witnesses. They are responsible for developing and maintaining the case file and serve as a liaison and coordinator among counsel, client and investigator. As trial time approaches their duties may include the locating and even transporting of witnesses to court. Prior to assignment to a staff attorney they receive one month of training on topics ranging from office operations to ethics and confidentiality. Currently, trial assistants receive a minimum of pay and some are still volunteering their time and services. The most valuable service they perform for attorneys seems to be the release time they create. Attorneys constantly commented that they could devote more energy to trial preparation and research than before and clients seemed satisfied as well. For this program both turnover and salary remain the major problems. Many trial assistants cannot continue to volunteer services for extended periods of time while those receiving salaries find them insufficient to meet existing needs. However, recruiting has been no problem for this position and the agency indicated they have many more applications than positions. Finally, some career pattern may be emerging as a number of trial assistants have left the agency to begin law school.

The manpower implications at least for this agency were substantial. These paralegals have become institutionalized into office operations and a vital part of defender services. How employees providing these services to other agencies will affect staffing patterns could not be documented by this study, but based on this one agency's experience, the effect could be substantial in the future.

1. Findings and Conclusions

- Many defender agencies appear to be providing more social and dispositional planning services to their clients. This may require the addition of social work and counseling staffs for these agencies in the future.
- Pretrial and diversion services are being actively utilized by defender agencies. However, agency manpower has not been effected to any substantial degree by this activity.
- Paralegals and law interns are being utilized to a great extent by defender agencies it appears. In addition to serving as a recruiting and a training ground for new defenders, the utilization of these persons is having some impact upon reducing the work and caseloads.

References and Notes

- 1. Powell v. Alabama, 387 U.S. 45 (1932).
- Miranda v. Arizona, 384 U.S. 436 (1966); Escobedo v. Illinois, 378 U.S. 478 (1964); Douglas v. California, 372 U.S. 353 (1963); U.S. v. Wade, 388 U.S. 218 (1967).
- 3. For a more detailed statistical view of rural and ad hoc counsel programs, see National Legal Aid and Defender Association. The Other Face of Justice, 1973. Chicago; National Legal Aid and Defender Association. Hereinafter referred to as National Defender Survey.
- 4. Ibid.
- 5. The National Advisory Commission on Criminal Justice Standards and Goals. <u>Task Force Report: The Courts</u> (LEAA) Washington: Government Printing Office, 1973. Standard 13.5.
- 6. National Legal Aid and Defender Association, <u>National Study Commission</u> on <u>Defender Services</u>. 1975, Chicago: National Legal Aid and Defender Association. Hereinafter referred to as National Study Commission.
- 7. Ibid.
- 8. See <u>The Other Face of Justice</u> and the <u>National Advisory Commission</u>

 <u>Standards</u> commentary related to the provision of Defense Services.
- 9. Ibid.
- 10. National Study Commission, supra, note 6.
- 11. Ibid.
- 12. <u>Ibid</u>.
- 13. National Legal Aid and Defender Association, The Other Face of Justice, Washington, D.C.: National Legal Aid and Defender Association, 1973.

CHAPTER IX. PROSECUTORS



A. DESCRIPTION OF AGENCIES VISITED

1. Size and Type Distribution

The prosecutor is the chief law enforcement official in the jurisdiction he or she serves. Typically, prosecutors are either state, county, or regional elected officials, and the size of the jurisdiction served is dictated by the geographic boundaries and population of a particular political subdivision. Nationally, a majority of chief prosecutors serve in one- or two-person offices, representing large rural geographical areas of little or medium populated areas. However, in selecting a sample for the manpower survey, emphasis was placed on the larger metropolitan or urban prosecutor. The reasons for this are many and well documented in appropriate methodological sections of this report. However, it may be sufficient to conclude here that the most serious problems facing prosecutors today and the greatest majority of this nation's criminal caseload are in the large metropolitan centers.

There are basically two types of prosecutors. The first is the prosecutor who has limited jurisdiction for certain classes of municipal, county or state offenses, typically misdemeanors, petty offenses, and local code or municipal ordinances. In addition to this limited criminal or civil jurisdiction, they may be responsible for a large number of other matters including the provision of legal advice to the subdivision on matters ranging from zoning to school administration. These prosecutors may be called the corporation council, city attorney or even county attorney.

The second type of prosecutor may statutorally perform many of these civil matters as well, but the bulk of his or her office's work is devoted to

criminal prosecutions. Often, a jurisdiction will have the services of both a city attorney and a county or district attorney. In regard to criminal matters then, the city attorney may prosecute minor traffic and misdemeanor cases, while the district attorney will exercise jurisdiction in all other criminal matters. This second type of prosecutor office was the one visited during our study.

2. Variations in Organization, Function and Role

How prosecutor offices are organized will be directly related to the functions performed, jurisdiction of the office, geography, and population distribution of the political subdivision served. In some jurisdictions where the prosecution function is organized on a state-wide basis, the chief prosecutor for the state, usually the attorney general, will perform some of the duties county based prosecutors normally do, such as appellate practice.

a. <u>Organization by Function</u>. The most typical or basic organizational structure of prosecutor offices is by the various functions performed. Therefore, special units or divisions exist for the duties to be performed by the office.

The initial unit in most prosecutor's offices is normally the intake or screening unit. This division may be staffed by senior attorneys with the assistance of less experienced counsel and even volunteers. In some cases, screening and intake may constitute first assignment responsibility for new attorneys. However, many prosecutors stressed the vital nature of this function, and as a result, they required senior personnel to perform intake and screening tasks. In larger offices, intake and screening may be decentralized and will thus be performed in a number of locations. Minor citizen complaints and petty offenses may be received by prosecutors located at various

precinct houses or law enforcement departments throughout a city or county, while serious complaints and felony charges may be screened in the prosecutor's main office. A number of prosecutors visited now prefer to conduct the initial screening function in as close a proximity to the police and as soon after arrest as possible. Prosecutors thereby have the opportunity to review warrants and the sufficiency and legality of evidence and procedure quickly. If cases are substantially weak, they may then instruct law enforcement to collect additional evidence or dismiss charges before they begin the lengthy and consuming process through the system. Some prosecutors have offices in the police department for this purpose and one prosecutor in a large metropolitan city even has direct video communication between law enforcement and the prosecutor's office 24 hours a day.

Other functions may include a misdemeanor division, trials division, appellate division, major crimes unit, reciprocal support unit, white collar crime unit, etc. Depending on the size of the jurisdiction caseloads and available manpower, these functional units may be centralized in one office or spread out as need dictates. For example, in one jurisdiction visited, the misdemeanor or limited jurisdiction cases in which the prosecutor participates are handled by prosecutors assigned by courtroom or district. For the length of this assignment, they may actually use the courtroom as their office, managing their cases and business right from the prosecution table. Telephones may be available for access to the main office, but the prosecutor will only return there at the end of the day or on an as needed basis.

b. Organization by Trial Team. In addition to the standard units described above, a number of offices may further organize prosecutors into specialized teams for certain classes of crimes or offenders. For example, the

most common use of trial teams is in prosecuting major felonies, habitual offenders, white collar criminals or drug offenders. The team typically consists of one senior trial attorney, anywhere from two to five assistant prosecutors, an investigator and appropriate support personnel. This group works
together on the preparation and presentation of cases. By remaining with the
team, prosecutors develop special skills and can become quite expert in their
field. One office visited had a drug enforcement team made up of five prosecutors who have been together for some time. They have developed a thorough
knowledge of drug prosecutions and, in addition, have identified all major
traffickers in their city. They are, therefore, able to target their prosecutors more successfully and thereby remove major pushers and dealers in their
community.

This method of team prosecution is now being successfully applied throughout the majority of agencies visited.

c. Organization by Specialized Task. There is a trend currently emerging among prosecutor offices whereby the traditional organization by function may be giving way to organization by specialized task. Although this is currently a subtle distinction at best, it could in the future have some impact on the way prosecutor offices are managed and conduct their work. Organization by specialized task simply means some prosecutors may perform certain case related functions such as charging, investigation and case preparation while other attorneys concentrate only on doing trial work. The distinction between a "desk" prosecutor and the trial prosecutor therefore allows for more specializations and development of expertise.

3. Linkages with Other Criminal Justice Agencies

Prosecution agencies, as the primary law enforcement authority in most jurisdictions, must assume a great deal of responsibility and even control for many aspects of the criminal justice system. In conjunction with police agencies, the prosecutor serves as the primary intake and screening component of the system. The nature and quality of criminal cases brought before the courts begins with the prosecutor. Therefore, the relationship of the prosecutor with other parts of the system is of vital importance.

Relations with Law Enforcement. Police services and law a. enforcement agencies, in addition to prevention and community services, act as the investigators and apprehenders of the majority of criminal violators brought to the attention of the prosecutor and eventually the courts. It becomes very important, therefore, that good professional working methods are established. If police are sloppy in their investigations or not properly schooled in protecting defendant rights in accordance with constitutional requirements, cases and charges will be dismissed. To facilitate this relationship, prosecutors have taken steps recently to improve the links between them and the police. One of the methods for achieving this end was observed during field visits. It is a method now being employed in varying degrees in a large number of cities throughout the country. The method simply reinforces police prosecution relationships by stationing assistant prosecutors in police departments. Once physically located near the law enforcement officers, prosecutors may review cases as they are being developed to determine whether evidence is sufficient and admissable. If more information of a specific type is needed, prosecutors may advise where and how it may be legally collected. In addition to improving case quality and facilitating screening, this innovation also provides feedback to police regarding their performance and the status of their cases. In the past, policemen have spent considerable time on a case only to learn that it had been thrown out or dismissed by the court. This can be frustrating and over time can affect morale. Under an improved communication system, police personnel can be briefed and kept informed through these liaison activities.

As with other relationships in the criminal justice system, cooperation in training efforts between police and prosecutors has assisted greatly in facilitating understanding and better relations.

b. Relations with the Courts. The performance of the prosecutor as an advocate for the state in criminal proceedings is always under the careful scrutiny and review of judicial authorities. As an officer of the court, the prosecutor must always strive to conduct him/herself in a professional manner while at the same time remaining as independent as possible.

The formal policies and daily operations of prosecutors can have a drastic impact on the courts if not properly planned and jointly implemented. For example, presume the prosecutor determines that no plea negotiations will be permitted in habitual offender cases. This is fine as long as judicial manpower is available to hear cases within speedy trial rule limitations. If these persons or courtrooms are not available, the system can bog down very quickly. Because the prosecutors control the court's intake to a degree, they must be very cognizant of the court's abilities and practical limitations.

One method utilized to maintain effective communications is through regularly scheduled meetings of key system actors such as the chief judge, the prosecutor, public defender, the police chief and others. These sessions allow administrative heads of agencies to air common problems and work toward mutually acceptable solutions.

c. Relations with Defense Attorneys. The relationship between prosecutors and defense attorneys is usually one of professional respect shared by adversaries in the criminal justice system. This relationship can only be maintained if the advocates are adequately trained and prepared to perform their respective tasks adequately.

In most jurisdictions visited the relations between prosecutors and defenders were characterized as good. However, problems may develop when political or caseload demands begin to place additional pressures on prosecutors and defenders. One typical example again may be the plea negotiation process. Although the "bargaining" process serves different needs and may be mutually disliked for different reasons, it has become a necessary evil for many jurisdictions. If prosecutors change their policy in an effort to be responsive to community demands, and proper planning has not been done, sometimes the effort may backfire. For example, in one jurisdiction, plea negotiations were halted by the prosecutor's office. However, no real reform of screening and charging took place prior to the institution of the new policy. As a result, the conviction rate for the prosecutor's office decreased from 60% to 30% and morale in the office dropped substantially. The public defender is now anxious to take cases to trial because of poor prosecution practice and preparedness.

d. Relations with the Community. The prosecutor, as an elected law enforcement official, must be responsive to the constant demands of the community for safer streets and more effective and prompter administration of justice. Prosecutors visited appeared to be making sincere and concerted efforts to respond to citizen needs in three ways. First, the prosecutors all tended to run efficient and professional offices. Second, prosecutors take

part in an increasing number of public activities and have taken a more active role in criminal justice planning for the jurisdictions they serve. Third, prosecutor offices have begun to offer services such as victim and witness assistance centers, citizen complaint centers and diversion programs, which all tend to provide needed services while improving the public image of the prosecutor.

4. Findings and Conclusions

- Major changes within the structure or organization of prosecutors' offices is not anticipated. However, the increased utilization of specialized team or units has been observed and may represent a trend in the future.
- There may in the future be a shift toward more specialization among prosecutors with major distinctions being made between the "desk prosecutor" and the "trial prosecutor."
- Relations between prosecutors and law enforcement agnecies have improved substantially. Assisting in this process has been the use of innovative methods of increasing effective screening and changing processes.

B. MAJOR FACTORS AFFECTING WORKLOADS

Caseloads for prosecutors in cities visited have increased steadily over the past five years and executives interviewed do not anticipate this trend to decrease in the next few years. At least half of the agencies indicated they are understaffed and attempts to rectify this situation have met with mixed responses by funding sources. For example, one large metropolitan office requested 13 additional staff attorney or assistant prosecutor positions be created to meet caseload demands. The city reviewing this budget along with those of other agencies competing for limited tax dollars recommended instead that the agency reduce its current staff by five. Hearings and budget fights were held with the agency finally realizing no net gain.

To compensate for this problem and others relating to increased workloads with no increase in resources, agencies modify and refine their screening processes and select out cases by seriousness of offense, quality of the evidence, etc. The principle that must be maintained is quality prosecutions where cases are well prepared and presented. Additionally, some offices have reorganized their manpower into more efficient trial teams or specialized units.

One factor that continues to ease some of the caseload and work demands of prosecutors is the utilization of paralegals and interns. Their ability to perform both non-lawyering and lawyering functions formerly conducted by assistant prosecutors has eased some of the demands on the office and staff.

Finally, the influx of federal funds for the creation of specialized units within prosecutors' offices has allowed many agencies to hire manpower and maintain quality performance which would not be the case without such support. As with other sectors of the criminal justice community, prosecutors continue to plan and seek "hard-money" support for these programs before funding expires.

1. Findings and Conclusions

- Caseloads and workloads in prosecutor offices continue to increase without proportional increases in necessary manpower. To compensate for these problems, more screening and negotiation is expected to continue.
- Paralegals and the utilization of law interns have greatly assisted prosecutor offices in keeping pace with work demands.
- Federal funding of specialized and innovative programs have contributed to maintenance of quality prosecution services.

C. ANALYSIS OF PERSONNEL SYSTEMS CHARACTERISTICS

1. Recruitment and Selection

At each city visited the Personnel Department Interview form was used to assess personnel needs of the prosecutor's office. This interview was normally held with the chief prosecutor, there being no personnel department within most prosecutor's offices. In some large offices we interviewed an assistant attorney responsible for personnel matters, though he normally handled prosecutor's duties as well.

Results of this survey are probably not descriptive of the personnel situation five years ago or possible five years hence. It was conducted while the country was undergoing a major recession, often even called a white-collar depression. Thus, it was not surprising that recruiting and holding good attorneys is not a problem. Only one office indicated a problem in recruiting staff attorneys and that problem is a freeze on hiring, unaccompanied by a freeze on crime.

Where agencies are able to hire, the most frequent reason given for ease of recruitment is that there are simply more qualified applicants than vacancies. Fewer attorneys are leaving, so there are fewer vacancies. Young lawyers want to have trial experience and the prosecutor's offices and the public defender's offices are the best way to get it. In one office the charismatic personality of the district attorney was cited as the agency's most powerful recruiting device. This was the exception, however, and for most agencies, the reasons cited above plus the increase in salaries make the position attractive.

Requirements were about the same in all agencies: a law degree and admission to the bar. Several offices will hire recent graduates who have taken

the bar examination and are awaiting the outcome. If they fail, continued employment is at the agency's discretion. Because of the tight labor market most agencies who had intern programs selected new hires from among their interns since they knew the local system and their performance had been observed and evaluated. Several agency representatives indicated a preference for hiring inexperienced attorneys who can learn the local office practices without conflict with earlier teaching from other offices. This leads to a preponderance of local talent within prosecutors' offices. Young attorneys often were born and reared in the state, attended law school there, and, if an internship program existed, had served in the agency of hire.

Every prosecutor's office we visited had blacks and women on their staffs, including the trial divisions. Several offices indicated that they had been under affirmative action pressure and wanted more minorities but were not willing to compromise merit to meet goals. All offices expected the proportion of women and blacks to increase, primarily because there are more of both now in law schools. At the present time, because of the pressures on all institutions, public and private, to increase the proportion of women and minorities on their staffs, better salaries are often offered, and the prosecutor's office is sometimes non-competitive on salary. It should be noted, however, that salaries in the court system have increased substantially over the last few years, and in many areas are as good or better than a new lawyer can command in the private sector.

2. Utilization

Once hired, new attorneys are never sent into the courtroom to sink or swim. Every office has some system for developing the attorney's skills without causing undue harm to the office, the public, or the accused.

addition to formal and informal orientation programs, the young attorney is led through a series of assignments graduated in difficulty. The specific procedure differs among offices, with juvenile and misdemeanor cases being the most common first assignment. Other initial assignments include preliminary hearings, traffic court, and the research division. The usual procedure is for the new attorney to sit in with an experienced attorney, first as observer, then as participant, and finally as leader. The length of time spent in each of these training cycles varies with the individual and the opportunities to move, but most offices feel that it takes about a year to become a minimally competent trial attorney. As the new attorney moves through the cycles he starts with less serious cases, graduating into more serious ones. This system appears to be generally satisfactory and prosecutor offices see no reason to change, but its effectiveness depends to a great deal upon the ability and willingness of the senior attorney to teach the neophyte.

3. Career Ladders and Promotion Policies

Promotion within the system differs somewhat depending upon whether the office is covered by Civil Service. Those that are promote all satisfactory attorneys from level 1 to level 2 automatically. For levels 3 and 4 the attorney must have satisfactory performance and pass an examination.

Where a civil service system does not operate, most offices use an appraisal system of some kind. In its simplest form, experience and supervisory evaluations comprise the basis for determination of promotion potential. A somewhat more complex appraisal system included information gathered from judges, senior prosecutors, court clerks, and bailiffs. Finally, the most complex system we encountered included, in addition to the variables described above, an analysis of the attorney's record. The office that does this in the

most formal manner keeps records in three categories: First, the number of jury trials, normally about 10% of the workload, is taken as an indication that the attorney is aggressive and not lazy. Second, non-jury trial activities—the other 90% of the workload— are looked at to see what the attorney has done: e.g., how many pleas, cases pending, stage, etc. These cases must move along also, so effective jury trial behavior must be backed up with solid work outside the courtroom. Third, since the first two categories will eliminate all but a very few "stars," other factors are examined for the finalists. Workload is evaluated in terms of the court practice (e.g., some judges only try one case per week), and the convictions obtained by the attorney.

Each office seemed satisfied with its procedures and felt that the attorneys on their staffs were generally highly competent. Unfortunately, there is no lengthy career ladder for the assistant prosecutor, and a deserved promotion is often held back because of the unavailability of a vacancy.

Beyond the narrow range of positions within the prosecutor's office, the assistant prosecutor can aspire to the chief prosecutor position for which he may have to stand for election, division chief, a judgeship, or a career in private practice. The most frequent career pattern is law school internship ——>prosecutor ——> private practice.

The average tenure of prosecutors reported by the agencies visited is about four years, though there are wide variations. At some point certain prosecutors apparently decide upon the job as a career and stay for many years, even though promotion opportunity is limited. They apparently develop a strong and lasting preference for trial work and an interest in the criminal justice system.

Prosecutor's offices differ in the policy on outside employment. In small offices it is probably a necessity for economic reasons, but in large

cities, private practice is the exception rather than the rule. As salaries approach those in the private sector, the prosecutors tend to be full-time public officials, though we met a few attorneys whose private practice is lucrative and is the factor that allows them to remain prosecutors. This reflects an interesting phenomenon in the careers of prosecutors in offices permitting private practice: during the early career years attorneys use the job to subsidize their beginning private practice; later, if they are devoted to trial work, they use their private practice to subsidize their work in the prosecutor's office.

Turnover in prosecutor's offices is low because of higher salaries now being paid and because of the current economic situation. Data in this area are probably of marginal value since an upturn in the economy will probably encourage higher turnover.

It should be noted, that although turnover is low and recruitment of capable lawyers is easy, this does not mean that prosecutor offices are comfortably staffed. Most offices have pressing personnel needs that cannot be met because of lack of funds. There is a ripple effect in relation to the needs—new lawyers will help, but then the need for support personnel such as investigators and clerical personnel will be enhanced. In fact, many offices now suffer from severe shortages in support personnel. The addition of a judge has the same ripple effect, sometimes not recognized by the appointing body. LEAA funded projects have been helpful to agencies trying to deal with shortages, but they are a mixed blessing. Unless it is fairly certain that the program will be funded when the LEAA grant terminates, there is a reluctance to undertake the project.

Not to be overlooked in a discussion of shortages is the shortage of space. It was not uncommon to see several prosecutors in a single small office, sometimes sharing a desk or table. With high building costs, this problem is not apt to be overcome in the near future, and will only be aggravated by the addition of more personnel.

4. Training and Education Policies and Programs

a. <u>Preparation of New Attorneys</u>. Typically, new staff attorneys or assistant district attorneys come to the prosecutor's office in local jurisdictions with little or no practical experience. The vast majority of new hires are recent law school graduates. While the number of law students who have participated in internships or clinical programs is increasing, most have never formally appeared in a criminal proceeding before a court of record.

Respondents in the eight agencies visited were asked whether they felt that new staff attorneys were adequately prepared to perform the full range of duties required of the position when they first came to the agency. The answer was uniformly no. Responses to the adequacy of law school education by those interviewed indicate a wide range of opinion. At one extreme came the reaction that law schools simply are not doing a credible job in preparing lawyers. These respondents felt law school was becoming too esoteric and not teaching enough black letter law. A middle ground propounded by the majority of respondents considered law schools as adequately providing substantive knowledge with little emphasis on practical education, procedure, or technique. A third group of respondents took a more philosophic approach, which might be categorized as encompassing the general definition of legal education. That is, law schools are not in the business of training lawyers

but rather are institutions of higher education teaching law. In support of this rationale, statistics may ratify the contention that concentration or specialization during law school may not be desirable or practical. While law schools are graduating some 30,000 students a year, those going on to take licensing or bar examinations and those going on to the practice of law in a great number of specialty areas are substantially smaller. It might be estimated that of the 400,000 lawyers in private practice today, very few could be considered fulltime criminal lawyers. In fact a recent survey indicated only 25% of all private lawyers engage in criminal practice 10% or more of their time. The fact remains that for those who aspire to be prosecutors, law school offers little practical education or training. This finding must be tempered somewhat by recent innovations and application of clinical legal education, to be discussed in depth in a later section of this report.

Within the context of preparing new lawyers, whether these skills be acquired through law school, on-the-job, or through special training, respondents were asked to indicate subject areas in which new staff attorneys were deficient. Additionally, respondents were asked whether law school curricula should be providing these skills and knowledges. Respondents did not work from any type of checklist and therefore their comments have been organized and summarized in Table VIII-IX-1.

Table VIII-IX-1
Respondents Characterization of Law School Course Deficiencies

Deficient Subject Area	No. of respondents so indicating (N=8)	Should law school curricula provide the skills and knowledges			
		Yes	No		
Criminal Procedure	5	4	1		
Practical Application of the Rules of Evidence	2	1	1		
Trial PracticeConduct of Trials, Tactics, etc.	4	3	1		
Exposure to the CJS	2	1	1		
Case Preparation Practices	2	1	1		
Legal Research & Writing Techniques	1	1			
Office Management	1		1		
Knowledge of Local Laws	1		1		

It was the consensus of the respondents that law school does not place enough emphasis or concentration on the practical application of the law. For example, it does an attorney no good to know that a piece of evidence is not or should not be admissible in a court of law, if he does not know how to keep it out. The simple learning of thirteen exceptions to the hearsay rule are equally of no value if an attorney does not know how or when to raise a proper objection.

Law students, it was reported, many times do not even know some of the simple and basic principles of procedure such as where to file a case, and

what forms and motions should look like. While the respondents appreciated the obligations of law school to instruct in the law, the majority felt that the teaching of practical application would be of most utility to the student.

The opportunity to learn about the conduct of a criminal or civil trial during the course of formal legal education is typically offered through an elective called trial practice. This offering is different from most traditional courses in that it offers students the forum for and instruction in the preparation, presentation and analysis of a case from its inception to final verdict. In this laboratory setting, students must prepare motions, examine witnesses, make and properly support objections and present arguments before the court and jury on behalf of their client. With the exception of clinical opportunities, trial practice is the closest approximation to real practice students may get. Respondents would not only like to see more trial practice in the law schools but have expressed a willingness and desire to participate in the process.

b. Formal Training of Law Students and New Attorneys. Every prosecutor office visited provides some formalized preservice training to law students and/or new attorneys. For purposes of analysis, preservice training may be classified into three general categories: clerk and internships, orientation, and supervision. Although each group of activities or training modules may be distinct, each seems to contain elements of the others. Finally, the level and intensity of training for this class of employees may vary a great deal, depending upon commitment by the chief prosecutor, financial resources, and available manpower.

Seven of the eight responding agencies offered clerkships or internships of varying length and degree. The most simplistic or traditional program

incorporates the tested technique of utilizing law clerks. The law clerk is typically a part-time law student who is employed on a full-time basis. As his or her time is not limited by class schedules or the necessity to master the essence of the job of prosecutor in a short period of time, this method of preservice training may be protracted, specialized and even highly individualized. For example, a law clerk may concentrate on only one aspect of the prosecutorial function for a period of months before ever viewing other segments of the agency's operations. Common assignments or typical duties of clerks may be to conduct legal research, to prepare and answer motions, or even to draft appellate briefs. As law clerks become familiar with one segment of office operations they may be transferred as need, a training plan, or developing expertise dictates.

The advantages of the law clerk system are two-fold. Because clerks are full-time employees, their training and skill development need not be subject to the same pressures exerted upon part-time employees or new hires facing a waiting caseload. Second, clerks may work closely with senior staff as part of the formal office structure, thereby allowing them to be integrated into office operations and procedure while continuing to learn.

The newer or emerging programs utilized to train law students are clinical internships. Typically internships are offered to qualified law students who may devote as many as 20 to 35 hours a week and full-time summers to learning a variety of functions performed by prosecutors. These persons are usually full-time students who participate in agency or school sponsored programs for credit and/or small stipends. Although the course of instruction and exposure for interns may be limited as with some law clerk programs, more typically these programs attempt to offer the student an accelerated, well

rounded exposure to the agency. Interns come to know how charges are brought and filed, details of the processing and prosecuting of a criminal case, and may participate in various functions from interviewing witnesses to the actual trying of cases. One clinical program visited was so satisfied with the quality and learned expertise of their students, that all limited jurisdiction traffic cases (with minor exception) that required participation by the prosecutor's office were handled by the student interns.

The actual elements, functions, and administration of these intern programs are almost as diverse as the agencies within which they are located.

A program which places emphasis on exposure may rotate students throughout different divisions of the office on a weekly basis. Other programs observed tended to be more concentrated and allowed a student to spend an entire semester on a single function similar to that of the law clerk described above.

Typically, intern program administration will vary a great deal according to stated purpose and office organization. While measurement of successful programs must be carefully viewed in light of expected outcomes, from an administrative point of view, programs observed seemed most successful when they contained the following components:

- Careful screening and selection of student interns,
- Centralized coordination or direction by one individual, usually a senior staff attorney who devotes a major portion of his time to supervision of student interns,
- Structured assignments,
- Some element of formalized training,
- Programmed exposure to all activities and services performed by the prosecutor's office.

- (1) <u>Careful screening and selection</u>. Although inflexible criteria for admittance to intern programs would probably be counterproductive, adherence to certain prerequisites tend to bring better qualified interns to the prosecutors' offices. At a minimum these requirements should include completion of courses in criminal law, criminal procedure, and evidence. To the extent that grade point average reflects a high level of subject matter understanding and proficiency, this too should be considered. A number of respondents indicated some of the characteristics they look for when interviewing new hires. These include a strong desire to work, a sense of confidence, an ability to present a good appearance, an ability to think on one's feet. Although hard to define and measure objectively, these qualities may be desirable in intern selection as well. Depending upon the way programs are organized and administered, the consensus was that students should first be screened by law school faculty and then referred to the prosecutor's office for personal interviews and selection.
- (2) Centralized coordination. Supervision of intern programs is usually performed by a member of a local law school faculty with direct supervision provided by the prosecutor's office. When this supervision can be provided by a senior trial attorney who can devote a substantial portion of his time to the program, better coordination and more efficient operations usually are said to result. Although a number of offices visited had intern programs supported by federal funds, only minimal sums were designated to defray the cost of a supervisor's salary. However, sometimes it is more a matter of commitment than money. Some agencies have found that assignment of personnel to supervise interns is of such paramount need that release time from normal duties is authorized. Other agencies spread out responsibility for supervision to individuals or team leaders to whom interns are assigned.

To the extent that direct responsibility for the intern's work effort is so organized, this seems to function efficiently.

The advantages of centralized administration are many. One manager familiar with all of the requirements of the office for intern assistance can effectively place students and rotate them as needed. Second, students who may be experiencing difficulties with a specific attorney or assignment may consult with their coordinator for assistance or reassignment. Third, centralization allows for more time to look at some broader issues such as program evaluation, effective utilization of personnel and most importantly, training.

(3) Intern orientation and training. Some form of orientation and training was found to be beneficial to both intern and agency personnel. Many questions and misconceptions raised by interns can be responded to more easily when dealt with early, obviating the necessity of having to deal with them individually and more haphazardly throughout the course of the semester. In addition to regular meetings of all interns, sessions on topics outside of specifically assigned areas were observed. These might include anything from tours of the courthouse to attendance at an autopsy. Students also have the benefit of informal and formal training provided by assistant prosecutors as well.

A small amount of orientation training to allow interns to familiarize themselves with office operations and procedures is essential. Additionally, where rotation of interns is the operational model, this knowledge makes transition smoother and in the long run represents a much better utilization of limited time for both the prosecutor and the student. Some offices have made concerted efforts to include students in seminars and weekly meetings

held for professional staff. This not only gives the interm the assurance that he is an integral part of the operations of the office, it also serves as a means of education related to practical procedural and substantive problems prosecutors face.

- (4) Specific structured assignments. Whether an intern program is based on a rotation or individually assigned basis, students generally seem most comfortable with and respond most favorably to more structured assignments of work—at least initially. This work plan allows the student to move more thoroughly and cautiously while being adequately exposed to the important aspects of his work environment. This method of distribution also permits more careful evaluation of products produced.
- (5) Exposure to the agency and the CJ system. Agencies visited that are not simply interested in having students do spade work, but that want to integrate them into their operations try, as time and practical needs dictate, to give interns as much exposure as possible to the multifaceted functions of the prosecutor and the differing elements of the criminal justice system.

While a number of prosecutors indicated that the intern programs were not really beneficial to them and took up more time than necessary to teach skills to someone who was only coming in a couple of hours a week, for the most part the benefits accruing to both students and agencies are well established.

From a very pragmatic point of view, intern programs give prosecutors a two-fold benefit. First, for those offices that hire from their intern programs, training and orientation have been an ongoing process, and the

costs of providing these services to new hires are offset in part. Second, screening and hiring of interns as attorneys upon graduation and admission to practice has become common. In a number of offices visited almost every new hire in the last two years has come from the intern program. In one office more than half of all assistant prosecutors are former interns or law clerks. One deputy indicated that he may receive as many as 200 resumes a year from potential applicants from all over the country, but he feels by hiring from his intern pool he has someone whom he has personally trained and evaluated, and who is familiar with the office. For this new hire, commitment to the office is already established, and the intern may make an easy transition into the role of an assistant prosecutor with a minimum adjustment time.

The benefits to the student in this respect become obvious. In a limited marketplace, the new graduate, in a relatively short period of time, has established skills and abilities that make him or her a desired resource in a chosen area of interest. By the same token, students having had the opportunity to experience the operations of a prosecutor's office that is principally engaged in criminal prosecutions and trial work may find that this is an area of the law they will not want to pursue.

Finally, intern programs have been of great assistance to prosecutor offices faced with increased filings and with more complicated and time consuming matters. Some agencies have come to depend upon interns to play a major role in trial preparation and assistance. Additionally, students who have proved themselves are continually called upon to prosecute cases, even some major felonies, where third-year practice is authorized. Although no agency was able to measure what impact this has had in dollars, all have acknowledged that it has been substantial.

c. Training New Hires. Typically new hires in a prosecutor's office fit into one of two categories: they are either fresh out of law school or they come to the office with some (and in many cases substantial) trial and practical experience. For those attorneys who have experience, little training beyond the simplest orientation is provided. For the much larger class of new hires—the recent law school graduate—two types of training were observed at agencies visited. The first of these is orienta—tion that may last from a couple of days to a more structured ten—week program as observed in one agency. If the new hire has participated in a clinical intern program sponsored by the hiring agency, little or no more initial training will or need be offered. Beyond this initial orientation, supervision by senior trial attorneys or a training attorney constitutes the second type of training provided.

The orientation training of new hires typically begins with an overview of office operations, practices, and procedures. If the office has a handbook and/or policy manual, these will be required reading and, along with case materials, may constitute the only written matter new attorneys receive. Unless the training manual has been formally developed, it will usually contain the most recent policy and procedures memoranda written at various times by senior staff and will also contain opinion statements focusing on particular practices and points of law.

Depending on the organization of the office, the coordinator of new hire training may be any one of several persons, but in no agency visited did any one designated training coordinator have training responsibility as a full-time assignment. Most commonly the training coordinator is a senior staff attorney who is in charge of a court of limited jurisdiction, the major trials (felony) division, or the appellate division.

Some orientation is conducted by formal lecture, seminars, role playing and videotaped trial practice. But for the most part, after an initial indoctrination, new hires follow a prescription of observation, minimal participation and finally, supervised practice. Observation typically consists of watching attorneys for a few days to a week in the office and in the courtroom performing various functions. After observing, training groups reconvene to review and question observed practices. Even in the longest observation and orientation programs, new hires move on to limited participation in a matter of several days and will probably begin to handle minor matters under supervision within a few weeks.

Typically, first practice assignments will include traffic cases, juvenile matters and minor misdemeanors. Under supervision of their coordinator during this phase, new hires begin to acquire one of the most important skills necessary for a new trial lawyer--confidence. One trainer stated that all new prosecutors are naturally scared and unsure of themselves; many have never seen the inside of a courtroom, much less had to present a case in one. The lower courts then, in some jurisdictions, act as the initial battle and training ground for new attorneys. As mistakes are made and new skills acquired and polished, new hires t n begin to handle minor jury trials and engage in more lengthy and detailed examination of witnesses and cross-examination of parties. These initial assignments to juvenile or limited jurisdiction courts may then become the new prosecutor's first permanent assignment, and he or she can continue to train in this capacity for a period ranging from a few months up to a year or more. Movement to assignments of a more complex nature will then depend upon a number of variables, including ability to handle oneself in court, knowledge of the law and procedure, and very pragmatically, whether "open slots" are available.

The main thrust of most new prosecutors' training is vested in the supervision received during orientation and throughout the first few years of practice in a prosecution agency. Depending on the size of the office staff, caseload, etc., orientation and training may be no more than sitting second chair to trial counsel, acquiring skills very slowly and eventually engaging in trial performance, followed by review, practice, and further refinement of skills. Because of the increasing demands upon prosecutor's time, this process of supervised training may be somewhat accelerated. But, all trainer respondents agreed that the only way to learn to be a trial lawyer was by trying cases.

In conclusion, respondents were asked how long it takes before a new hire is ready to assume the full responsibilities of a prosecuting trial lawyer. The estimates varied from one month to one year but most typically the trainers agreed that given the key variables of ability to handle oneself in court and knowledge of the law, the average time for preparation was somewhere between five and eight months.

- d. <u>Training of Experienced Prosecutors</u>. The continuing education and training of experienced prosecutors is provided in a number of ways. In addition to in-service training offered within the prosecution agency itself, other resources utilized to improve prosecution skills include: county and state prosecutor associations, local and state bar associations, national training programs and self education.
- (1) <u>In-service agency training</u>. With the exception of two agencies discussed later in this section, of the prosecutor's offices visited, a typical experienced prosecutor who had gained practical experience and expertise through case preparation and the trial of criminal cases, receives

little formal in-service agency training. That which is provided normally will include no more than discussion of selected topics during the course of regularly scheduled staff meetings. In addition, some agencies regularly supplement these sessions with lectures or discussion group meetings held after normal working hours or on a Saturday. For these longer sessions or seminars, formal presentations on relevant topics are selected on the basis of need and interest, and presented to the group by members of the senior staff.

One agency that utilized the Saturday session included the following subjects on its agenda: trial tactics, selecting a jury, cross-examining witnesses, closing statements, and recent developments in the law. Additionally, a number of offices invite guest lecturers (usually of the expert witness type) and may schedule visits and tours of various institutions and facilities and programs as part of their in-service program.

One source of "informal" education and training emerged as being highly relevant. This category, which might be classified as information gathering and exchange, includes everything from reading current slip opinions to regularly having lunch with fellow prosecutors, and may in and of itself be one of the most vital training tools. The attorney's desire to keep abreast of the emergency and transition of substantive and procedural law is of paramount importance. One additional means of effecting information exchange is the ordered circulation of recent decisions, court findings and rulings. Some offices, recognizing the value of this exchange, have centralized this function through their appellate or administrative division.

Only two offices of the eight visited had what might be called formal in-service programs. These programs were usually coordinated by a central

administrative or training officer who also had responsibility for the training and supervision of law interns. Both of these programs were supported by federal funds and in one instance the agency also provided annual training services to prosecutors in other agencies throughout the state. Although these programs seemed well structured and included seminars and guest lectures, there was no real way of determining whether this method of providing in-service training was any more successful than those less comprehensive or structured.

(2) Local and statewide prosecutor association training. In addition to performing a variety of duties and services for its members, prosecutor associations have traditionally been one of the only stable vehicles for the continuing provision of training for public attorneys within given jurisdictions. The typical training and information exchange functions managed by a prosecutor association may include: periodic newsletters (usually biweekly or monthly), prosecution manuals or deskbooks, and regional and/or statewide training conferences (usually held on an annual or semi-annual basis).

Beyond supplying current information about agency and association activities, newsletters and regularly scheduled publications may serve as important sources of information regarding recent decisions and changes in legislation affecting prosecutors throughout the state. This is especially true for states with large rural populations, where prosecutors' offices are small and resources limited. Even in larger jurisdictions the careful review of federal decisions and of neighboring state court decisions that may impact on the forum jurisdiction in the near future can be invaluable. One state association visited was so efficient and effective in its analysis and

distribution of recent decisions, that a number of state court judges began subscribing to the service in order to keep current.

One of the major contributions provided by state associations is the preparation, distribution, and continued updating of manuals and deskbooks for prosecutors. These materials are basically "how to do it" resource documents and contain sample forms, descriptive materials and points and authorities of law. Although many individual agencies develop their own policies and procedures manuals, more than half of the agencies visited had state-produced deskbooks and thought they were very beneficial. In addition, these materials may be developed and utilized as some of the basic training materials provided during training sessions sponsored by the association. Finally, the capability to keep these materials up to date provides one more resource to assist the prosecutor in maintaining his or her knowledge of the current state of the art.

Training provided by statewide and local associations is usually multifaceted. The most traditional of these utilizes the annual association meetings to present lecture, workshop and film sessions on selected topics of interest. If the association has a training coordinator, he will coordinate with the group's training and education committee to prepare presentations based on perceived need and interest. Normally lecturers and workshop leaders are senior staff members from various offices throughout the state. Guest lecturers are often invited to address the group; these persons are usually technical experts on a highly specialized subject area such as fingerprinting, lie detectors, forensic sciences, drug identification, examination of witnesses. Keynote speakers are also commonly in attendance, and they normally address the larger policy issues germane to prosecution practice.

In addition to the direct educational benefits derived from conference participation, materials are normally generated for distribution to non-attending assistants, including the production of cassettes and videotapes. One of the most important fringe benefits enumerated by a number of prosecutors interviewed was the opportunity to meet with fellow prosecutors and to exchange information and strategy. These conferences provide the forum for some assistants with particular problems to seek and receive qualified technical assistance.

Although prosecutors visited consider this type of training to be highly beneficial, a number of problems have surfaced that deserve mention. First, when training is provided as an adjunct to annual meetings, its purposes and attendance are sometimes diluted by the association's business and social events. Attempts to modify this situation have led to holding training sessions at different times of the year so as not to conflict with annual meetings, and this has remedied the problem somewhat. Second, unless regionally focused, or unless consideration is given to special problems such as those peculiar to urban vs. rural prosecutors, the value of the training may be obscured. In attempting to solve this dilemma, associations are beginning to regionalize conferences and to more carefully screen topics and workshop group composition. Third, resources for training of this type may be extremely limited in many jurisdictions. While federal monies have been of great assistance in this regard (ten states now have full-time training coordinators for prosecution services), funds for materials, speakers, travel and expenses must often be borne by the individual or his sponsoring agency, and of course release time for attendance may severely limit who attends, when conferences may be held, and for how long.

Each of the agencies visited participated in statewide association training to a degree. Two of the agencies serving large metropolitan jurisdictions even provided the program and material development expertise as well as the majority of the manpower to sponsor this type of training for state and regional sessions.

- spects to the course of instruction provided by prosecution associations are programs, seminars, and workshops offered by bar associations, centers for continuing legal education and law schools. Although prosecutors attend on occasion, these programs do not at the present time play a major role in their continuing education and training. This may shift in time as more states require certification for specialized practice or if state and local prosecution associations do not have adequate resources to meet their members' needs.
- (4) <u>National programs</u>. In the course of field interviews, three national training organizations were identified and utilized by a number of the prosecution agencies. The most prominent is the National College of District Attorneys, sponsored by the National District Attorney's Association and located in Houston. Five of the eight agencies visited have sent prosecutors to this two- to three-week summer program and have attended NDAA training activities held in various parts of the country on selected topics throughout the years.

Evaluation of the Houston program will not be attempted here; rather, what is of interest is how different agencies utilize and view the Houston program. The typical agency sends anywhere from one to four assistants to the summer program. Each year, in addition to the regular curriculum, special

sessions are offered in office management, calendar control, etc., and prosecutors who attend these courses are usually at a senior staff level. Some offices determine who will attend by seniority, while others base support for attendance upon interest. Financing for the attendance of participants comes from a variety of sources including scholarships, training budgets, special requests for LEAA funds, and special requests for county or local funds. In addition, on rare occasions prosecutors will pay their own way to attend.

The reason respondents gave most about what prevented them from attending national programs was release time. Most offices cannot afford to allow an attorney to be away from the office for a three-week period "simply for advanced training." One alternative to this situation has been that some prosecutors will combine the training with their vacation time in order to attend.

The evaluation of the program by respondents was mixed. The majority of offices responding considered the program to be valuable. Other respondents felt that the program was too general to be of substantive value to their trial lawyers. However, both groups indicated they would like to continue to send their assistant prosecutors and desired more support to be able to do so. One reaction similar to the respondent's opinion of statewide training sessions surfaced. Attorneys gain invaluable insights to the tasks and duties they perform through the conversations they have with other attorneys. One attorney stated that simply finding out how it is done in other states made the experience worthwhile. Another respondent who considered the Houston program of dubious value stated that, if nothing else, attendance at these programs gives our assistants moral support and

somewhat of an ego boost when they view their office operations in comparison with others nationwide.

In addition to the Houston program, NDAA's specialized seminars were thought to be beneficial and especially attractive because they were usually more regionally based, concentrated, and required shorter periods of time for attendance.

Supplementing the national and regional specialized training given,

NDAA offers its members a large variety of films and cassettes, manuals, etc.,

on numerous topics that may be used for education and training. All agen
cies were familiar with these services and most use them to varying degrees.

The other national programs identified were the prosecution training program at Northwestern University and a relatively new program in advanced trial advocacy in Boulder, Colorado.

(5) <u>Self-education</u>. This last major input to a prosecutor's continuing training for the performance of his or her job is probably the most difficult to quantify or describe. Almost every prosecutor interviewed during various phases of the occupational analysis indicated that they must continually read, discuss and evaluate cases, law reviews, and any other materials they can get their hands on to keep their skills sharp and their knowledge up-to-date.

5. Findings and Conclusions

- The employment pool for new hires among prosecutor agencies continues to contain more qualified applicants than positions available.
- Because law interns have received some training, and the quality of their work has been evaluated, they are more likely to be hired in prosecutors' offices when positions become available.

- Most agencies indicated that the number of women and minority persons is likely to increase in the future for professional positions.
- Turnover in prosecutor's offices has been slowed due to better salaries and a limited access to certain types of traditional career progression, caused primarily by the economy.
- The most common training vehicles for future prosecutors appears to be law intern programs.
- The majority of new hires in prosecutor offices, who are new hires, are typically ill prepared to perform the full range of duties required of assistant prosecutors.
- Law clerk and intern programs are expanding and have been found to be highly beneficial to prosecutor offices.
- Formal orientation and initial training programs in prosecutor's offices appear to be limited at best.
- In-service training for experienced assistant prosecutors is usually provided on an ad hoc and informal basis and does not appear to be meeting the perceived need of incumbent assistant prosecutors.
- The quality of statewide prosecution training programs seems to be increasing and may play a much greater role in the continuing education of prosecutors in the future.
- National programs for prosecution training provide limited but important inputs to the continuing education of prosecutors.

D. OCCUPATIONAL ANALYSIS

The collection of data from prosecutors was concentrated in medium and large size cities. As a consequence we tended to sample offices that have achieved some degree of specialization, so not a single task was performed by 100% of the sample. There were also several young attorneys who had not been on the job very long and who performed a limited number of tasks. Our consultants felt that specialization is the trend, so in that sense the data are probably representative. It is assumed, however, that in the many one-three person offices, all tasks are performed by all prosecutors.

Task Checklists and Knowledge Checklists were completed by 45 prosecutors in nine of the ten cities visited during the survey; one city declined participation. The average age of the respondents was 32; only one was black; and 4 were women. They had been prosecutors for an average of 2 years 9 months, and had worked for the agency for 3 years and 7 months. This difference probably reflects participation in some type of intern clinical program. All were attorneys.

Table VIII-IX-2 shows the prosecutors' tasks, the percent who perform the tasks, the amount of time spent, and where the task was learned. The last two columns of the table show the percent who credited college as the most important source of training and the percent who felt they had had too little training for the task.

Task 1. Obtains or causes to be collected or reviews records and evidence of alleged law violations, using procedures established by the office and the individual prosecutor, in order to have the evidence available for preparing charges or for presentation at hearings and trials. Performed by 84% of the respondents.

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Table VIII-IX-2 Summary of Responses to Task Checklist--Prosecutor

Scale for Amount of Time Spent on Task:

1 - A very small amount of time

2 A moderate amount of time

3 A considerable amount of time

TASK ST	ATEMENTS	% Who do task	Amount of time spent on Task (see scale above)	tran Format	nere learn ik order l College	,2,3) On the	% Ranking College as Important Training	I Had Too
1.	Obtains or causes to be collected records and evidence of alleged law violations.	84	1.7			1.0	Source	13
2.	Interviews scene witnesses and officers who were at the scene of an alleged crime, officers of the Mobile Crime Laboratory, and other investigators.	91	2.0	1.9	2.9	1.0	0	42
3.	Compiles and analyzes information and evidence collected by law enforcement officials, investigators, and other judicial system in order to determine whether sufficient information and probable cause exist.	82	2.2	2.0	2.4	1.1	2	33
4.	Screen cases, advise citizens as to appropriate course of action or decide whether or not to bring formal charges against an individual or individuals.	68	1.9	2.1	2.3	1.0	0	45
5.	Gives testimony before the grand jury when requested or on his own initiative	20	1.1	2.2	2.8	1.0	0	22
6.	Represents the state at preliminary hearings	58	1.3	2.1	2.7	1.0	0_	19
7.	Reviews and evaluates physical and testimonial evidence in a case in order to determine whether additional evidence is necessary	91	2.0	2.0	2.6	1.0	2	37
8.	Supervises or assists case investigators	73	1.7	1.9	2.8	1.0	0	29
9.	Consults with superiors, technical experts, and associates in order to make accurate judgements and formulate further plans for case preparation or strategy.	91	1.8	2.0	2.8	1.0	0	18
10.	Negotiates with defense counsel concerning charges pending against a defendant.	93	2.2	2.0	2.8	1.0	0	19
11.	Conducts legal research.	93	1.7	2.0	1.4	1.6	36	27
	Prepares, responds to, and files motions and/or memoranda	91	1.7	2.3	1.8	1.2	18	22
	Orients witnesses.	96	1.9	2.0	2.8	1.0	2	12
	Interviews and evaluates prospective jurors	73	1.4	2.1	2.5	1.0	4	34
15.	Prosecutes alleged law violators in a criminal court	96	2.7	2.1	2.4	1.0	4	30
16.	Reviews and analyzes proposals and information about an offender who has pleaded or been found guilty, in order to make recommendations	82	1.4	2.2	2.3	1.0	0	35
17.	Participates in conferences, lectures, and training sessions.	87	1.2	1.7	2.7	1.1	4	44
18.	Reviews and evaluates existing case load and calendar schedule	76	1.6	2.1	2.9	1.0	0	24
19.	Reads/evaluates/analyzes inquiries obtained from various sources and writes material in the form of correspondence, reports, and records.	73	1.6	2.4	2.2	1.1	4	21
20.	Meets and communicates with LE/CJ personnel in order to keep his legal knowledge current, to enable adopting successful innovations, and to have a store of ideas for possible improvement in his work area.	60	1.6	1.8	2.8	1.1	0	38
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Scale for Amount of Time Spent on

1 A very small amount of time

2 A moderate amount of time

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	Task:	3	A considerable amount of time

A CU CTATEMENTO		Amount of	W) (rar	Where learned (rank order 1,2,3) Formal College On the		% Ranking College as Important Training Source	% Who Had T Little Traini
STATEMENTS	Who do task	on Task (sec	Formal	College Course	On the	Important Training	Little Traini
			1			Source	ļ
1. Meets and confers with citizens, members of the LE/CJ system and offenders in order to help	р						1
prevent crime and other violations of law, and to promote a general understanding of the authorities, responsibilities, and objectives of the LE/CJ organization and system.	43_	1.3	1, 0				1,5
	· 1	1	li .	2.3	1	11 1 1	45_
2. Supervises offenders in diversion programs.	100	0	0	0	0	0	0
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	1						

This task is one which may become specialized, and already has to some extent in very large prosecutor's offices. The task must be done by an attorney since he must command the respect of the law enforcement agencies. An investigative attorney must be knowledgeable about search and seizure, and if electronic surveillance is allowed he must know the limits within which it can be applied. Our consultants felt that this task will expand as a function of the time available to do it, so it will probably increase in offices that develop specialized investigative units. Small offices will probably continue to operate as at present.

Task 2. Interviews scene witnesses and officers who were at the scene of an alleged crime, officers of the Mobile Crime Laboratory, and other investigators by asking questions, reviewing reports, and using procedures worked out, based on personal experience, in order to obtain evidence and establish its accuracy. Performed by 91% of the respondents.

This task takes a significant amount of the prosecutor's time, and will continue to do so. It is also one of the tasks they feel least trained to do. Our consultants agreed with the incumbents that the task is learned primarily on the job and involves a lot of trial and error. They felt that perhaps courses in psychology would aid prosecutors in this task, but each must develop his own technique that is adaptable to his own personality. A sensitivity to other people would appear to be an important characteristic of prosecutors performing this task.

In the future the task will probably increase or decrease with the increase or decrease in crime rate.

Task 3. Compiles and analyzes information and evidence collected by law enforcement officials, investigators, and other judicial system personnel, using own knowledge of criminal law and procedure and police practices, in order to determine whether sufficient information and probable cause exist to recommend warrants (search and seizure, arrest, etc.) be sought. Performed by 82% of the respondents.

This is a very important task that is among the most time consuming of the prosecutor's functions. It involves liaison with law enforcement personnel and is the task in which the prosecutor develops the information necessary for proper execution of Task 4. Although well rounded prosecutors do this now, and in smaller offices will continue to do it, where there is increased specialization, the task will probably be assigned to highly specialized units.

Task 4. Receives and evaluates allegations of criminal conduct presented by law enforcement officers or citizens using knowledge of criminal law and procedure, established office policy, and own discretion, considering the nature of the charge, and the available evidence, possible improper motives of the complainant, availability of victims or witnesses, nonenforcement of certain statutes and extent of harm, etc., in order to properly screen and decide whether or not to formally charge an individual. Performed by 68% of the respondents.

As public dissatisfaction with the rising crime rate and release of criminals increases, this task will grow. It represents a very important part of the judicial process, so it is particularly regrettable that it is one of the two tasks for which respondents felt least well trained--45% reporting they had had too little training. On-the-job training appears to be almost the only

source of training, so it might be of considerable benefit if more and better training could be implemented for this task. Only 68% of the respondents perform the task, so it is probably becoming more specialized and will continue to do so.

Task 5. Appears before the grand jury when assigned or requested, presenting evidence and witnesses using knowledge of case facts favorable to both the state and the defendant and knowledge of the criminal law and procedure, in order to advise and assist the grand jury in properly disposing of matters brought before it. Performed by 20% of the respondents.

This task is normally performed by only certain prosecutors in the agency. The chief prosecutor tries to use more experienced attorneys who will be more composed and knowledgeable, so the selection would naturally eliminate many of the young lawyers in our sample. It is a difficult position to fill, and will also become more specialized in large cities. College training is reported as being of relatively little value, with on-the-job training being the primary source of training.

Task 6. Represents the state at preliminary hearings by presenting evidence and witnesses, responding to questions of the court, considering the rights of the accused, and using his knowledge of criminal law and procedure in order to establish that there is probable cause to believe an alleged offender has committed a charged offense. Performed by 58% of the respondents.

The low percentage of respondents performing this task may be a function of jurisdictional differences. Where the preliminary hearing is a major process more time and personnel will be required for the task. It should be noted here that our consultants on the defender task checklist indicated that

extended preliminary hearings can become mini-trials, and defenders will often waive the hearing, feeling that only the prosecutor is helped by the procedure. Any increase in this task will be dependent upon whether preliminary hearings become a major process in a jurisdiction. Where it does, specialist units will probably evolve. Although this task ranks very low in frequency of participation, it is one forwhich most feel adequately prepared.

Task 7. Reviews and evaluates physical and testimonial evidence in a case information file by reading statements, examining evidence, visualizing the scene of a crime, and asking questions of officers, investigators, witnesses, and fellow prosecutors, using legal experience and knowledge of case preparation needs, in order to determine whether additional evidence is necessary in the preparation of a criminal case. Performed by 91% of the respondents.

Although the Task Checklist was designed to follow the essential steps of the judicial process chronologically, our consultants pointed out that the <u>task</u> is essentially the same as Task 2. It does appear to be a combination of Tasks 2 and 3, though the purposes of the task differ, so we feel that it is perhaps better to risk over-inclusion than to omit job tasks. Data for tasks 2 and 7 are indeed similar, but this is true of many pairs of tasks.

Task 8. Supervises or assists case investigators by making assignments, outlining details and case background, requesting investigators interview witnesses, examine the crime scene, take photographs, build models, collect physical evidence, etc., in order to establish facts and document evidence necessary in the preparation of a criminal case. Performed by 73% of the respondents.

Our consultants felt that this is a task that attorneys are often deficient in performing, and in need of additional training. They must work with the investigator, which requires knowing what case facts must be developed and how the investigators should obtain or verify them, e.g., summons. The relatively low percentage of the respondents saying they perform this task may reflect degrees of specialization of the nine jurisdictions sampled. That is to say, the 27% who do not perform this task may not have any investigators to supervise, and may perform their own investigations. Law school does not provide training for this task; it is learned for the most part, on the job.

Task 9. Consults with superiors, technical experts, and associates after reviewing and evaluating case file information, evidence and the results of research and investigation, asking questions that will assess the accuracy, validity, and usefulness of information, in order to make accurate judgments and formulate further plans for case preparation or strategy. Performed by 91% of the respondents.

This task is performed by nearly all prosecutors, and it is surprising that the response rate wasn't 100%. One would expect such a young group to have need for consultation with peers and superiors, especially in jurisdictions not heavily staffed with technical experts. The task takes a substantial amount of time and respondents generally felt adequately prepared.

Task 10. Negotiates with defense counsel concerning charges pending against a defendant after evaluating evidence, considering seriousness of offense, and other relevant factors of a case, using procedures set forth by office, in order to determine whether a reduced charge or dismissal of charges is appropriate in the interest of the state, the office, and defendant. Performed by 93% of the respondents.

This is the third ranking task on percentage performing, and includes plea bargaining and pretrial conferences that are mandated in some jurisdictions to keep cases out of court and to clarify issues.

Plea bargaining is a controversial issue at present. It has become unpopular with the public, because it "keeps criminals on the streets." Defenders claim that plea bargaining causes prosecutors to over charge in order to have bargaining space. Most prosecutors feel plea bargaining is necessary if the caseload is to be handled at all. In one jurisdiction we visited the newly elected Chief Prosecutor had promised to abolish plea bargaining. We did not interview him since he was not yet in office, but both his surbordinates and the public defender's reaction was a cynical "I wish him luck."

The task will probably not decrease, because where plea bargaining is not prevalent, sentence bargaining takes its place.

Task 11. Conducts legal research by studying legal opinions of those courts with which he is or may be associated, opinions of various other courts concerning cases relevant to case under consideration, changes in laws, new laws, and records of other relevant judicial and statutory authorities, noting specific references, using his own knowledge and experience in selection of specific material, in order to anticipate and prepare arguments on legal questions on points of law for use during trial. Performed by 93% of the respondents.

This task, like several others, would be expected to be performed by 100% of the respondents. We therefore examined the individual task checklists and found several had not been on the job very long and were performing only a few tasks, mostly of an investigative nature. This task had the highest pro-

portion of respondents (34%) giving law school as the primary source of knowledge. This is not unexpected, but it is disappointing that 27% reported that they had had too little training for the task. Our consultants felt that too little time is now spent on this task and that the time will increase. This may be offset, however, by increased use of computerized information systems.

Task 12. Prepares, responds to, and files motions and/or memoranda, conducts legal research, consults with superiors and associates, reviews case facts, evidence, and statements of witnesses, using knowledge of criminal law and procedure and local rules of court, in order to present a certain position prior to, during, or after trial. Performed by 96% of the respondents.

This task consists, according to our consultants, primarily of responding to defense motions. Law school is credited by almost one-fifth of the respondents as the primary source of expertise, and is one of only two tasks where law school plays a reportedly significant role. The task time is expected to increase, though no additional skills will be required.

Task 13. Orients witnesses, using own experience and ability, such as using prepared outlines and diagrams, simulated courtroom procedures, discussing difficult questions that may arise during the trial, explaining courtroom terminology and rules, giving instructions regarding behavior in court, in order to assure that potential witnesses have a basic understanding of the proceedings and allay anxiety that might confuse them. Performed by 96% of the respondents.

This is the task for which most of the respondents feel best trained; only 12% felt the need for additional training. It is also, along with the trial task (Task 15), the one most prosecutors perform. Our consultants felt,

however, that while the task may increase, it will be done in the future by a specialized group in the prosecutor's office. The consultants also mentioned in connection with review of this task, that the big problem is <u>finding</u> the witnesses when they are needed. Incidentally, one of the respondents noted on the back of his form that far too much of his time was spent locating witnesses and in persuading them to testify.

Task 14. Interviews and evaluates prospective jurors by listening to or engaging in voir dire, and asking questions to elicit personal facts, opinions, and beliefs upon which to base judgments concerning bias or prejudice, raising objections and using peremptory and cause challenges to dismiss those candidates found unsatisfactory, and debating with opposing counsel where candidate acceptability is in question, in order to assist in the selection of a jury, having in mind the legal and factual issues in the case. Performed by 73% of the respondents.

The trial attorney will always perform this task, and the time required will increase as crime increases. However, if as our consultants expect, increased specialization takes place, the desk attorneys will not perform the task.

The consultants anticipate that greater emphasis will be placed upon assessing knowledge of jurors' backgrounds. Prosecutors generally learn the task on the job and a sizeable proportion (34%) feel they have had too little training for the task. It is an area where increased use of psychologists or psychology training of attorneys could become a trend.

Task 15. Prosecutes alleged law violators in a criminal court by presenting a case on behalf of the state/county/city, using arguments, knowledge of criminal law and procedure, reason, results of investigation, examination and cross-examination, use of witnesses, technical experts, exhibits, motions, objections, citing legal opinions, points, and authorities, and other formal and informal procedures or information in support of argument, in order to present the state's case and enable the jury and/or judge to determine the guilt or innocence of the defendant. Performed by 96% of the respondents.

This task represents the core of the prosecutor's job. Only the newly hired prosecutors did not perform it. Nearly one third of the sample of respondents felt they had had too little training, though all of the prosecutors we interviewed agreed that the task can only be really learned by doing. Since no two trials are identical, even experience in the "second seat" cannot fully train a young prosecutor. This is the most time consuming of all tasks, and certainly the most important, so it would seem that good innovative methods of training would have a ready market. Most judges we interviewed felt that young attorneys are better prepared than ever, but several cited rules of evidence, knowing when and how to object, as real deficiencies among both young prosecutors and defenders. This appears to be an area in which law school could provide more or better instruction.

Our consultants suggested that the task be broken into three separate tasks; direct examination, cross-examination, and argument (opening and closing). While such a procedure may have value for certain purposes, we feel it would be inappropriate here, since it is a task performed by a single individual for a specific purpose.

Time for this task will increase if crime increases and if plea bargaining is curtailed. These increases may be offset, however, by the trend toward decriminalization of certain offenses, and better investigative work.

Task 16. Reviews and analyzes proposals and information about an offender who has pleaded or been found guilty, by talking to opposing counsel, probation/parole officers, representatives of appropriate private or public service agencies, reading pre-sentence reports and various other documents, considering the nature of the offense, past criminal record, and attendant circumstances, in order to make recommendations to the court at the time of sentencing.

Performed by 82% of the respondents.

Our consultants felt that the 82% response was high, and possibly is a function of the jurisdictions participating in the survey. It was their feeling that the prosecutor has no business in the sentencing procedures, but recognized that both extremes exist—in some areas prosecutors do provide recommendations; others stay clear of sentencing. They do not anticipate any increase or decrease in this task. Since so many (35%) of the prosecutors feel undertrained for the task, any increase should probably be accompanied by additional training.

Task 17. Participates in conferences, lectures, and training sessions, exchanging information, discussing new developments, recent decisions and practicing trial presentation and tactics, in order to assist others, keep abreast of new developments and to sharpen skills in advocacy. Performed by 87% of the respondents.

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Nearly half the respondents reported that they had had too little training in this area. One must wonder what training an attorney, or anyone, would need in order to perform this task. Rather, we suspect, respondents are expressing a need for more training of various types. They will probably get it if our consultants predictions are correct. They believe that training will expand significantly, will probably become more formalized, and will be handled through state associations. This task takes the least amount of time of all tasks that most prosecutors do, so it does appear that it is an area that could profitably be expanded.

Task 18 Reviews and evaluates existing case load and calendar schedule, identifying cases where additional evidence, investigation, or other requirements are necessary, talking with opposing counsel and other law enforcement/criminal justice personnel, estimating time for resolutions of legal issues and problems of certain cases, using case assignments, previous calendar schedules, knowledge of various cases and experience, in order to negotiate a practical calendaring of cases. Performed by 76% of the respondents.

This task will continue to be part of the prosecutor's job, but management will be restricted to his own case load. Courts are increasingly assuming responsibility for calendar management, so the time spent by individual prosecutors will very likely decrease.

Task 19. Reads/evaluates/analyzes inquiries obtained from various sources, received in writing, and writes material in form of correspondence, reports, and records, using format and procedures prescribed, but drawing on own experience and knowledge for the data to be used, in order to respond with appropriate information. Performed by 73% of the respondents.

This is one of the least time consuming of the prosecutor's duties, and involvement is expected to remain the same. It is learned primarily on the job and most prosecutors feel sufficiently well trained to perform the task.

Task 20. Meets and communicates with LE/CJ personnel, singly or in groups, or at professional meetings, discussing mutual problems and innovations, using professional knowledge and experience in the legal field, in order to keep legal knowledge current, to enable adopting successful innovations, and to have a store of ideas for possible improvement in his work area. Performed by 60% of the respondents.

It is surprising that only 60% of the respondents perform this task, so, as with several other tasks, we suspect that the rather high 38% who feel they have had too little training for this task are really saying they would like to do more of it. We do not know why more such interaction does not take place, unless case loads are so high as to preclude it. Our consultants did not feel this task will change at all in the near future.

Task 21. Meets and confers with citizens, members of the LE/CJ system, offenders, giving formal and informal talks explaining the functions of the LE/CJ system, responsibilities of all citizens, the operation of due process, and other legal concepts, using his own knowledge and experience, official and other publications, and conversations with other knowledgeable persons, in order to help prevent crime and other violations of law, and to promote a general understanding of the authorities, responsibilities, and objectives of the LE/CJ organization and system. Performed by 43% of the respondents.

This is the least time consuming of the non-technical tasks and the one which ranks highest among the tasks for which respondents feel least well trained. Again, this 45% "too little training" figure may reflect a felt need for greater interaction of this type. If our consultants are correct the need will not be met; they do not anticipate any increase in time or training allowed for this task.

Task 22. Supervises offenders in diversion programs, by counseling, monitoring behavior, and assuring conditions of diversion are met, using knowledge of the program objectives and the needs of the individual client, in order to assist in the successful diversion of offenders from the formal processes of the criminal justice system. Performed by none of the respondents.

This task is not performed in most prosecutor's offices. Where it exists, the prosecutor essentially serves in an advisory role and may delegate the supervisory function to non-legal personnel.

- b. <u>Training Implications</u>. As with the other positions requiring a legal education, the job of prosecutor is not expected to change markedly over the next five years. In large offices there may be increased specialization, but since 75% of the prosecutor's offices have fewer than five attorneys, this change will not extend into the majority of prosecutor agencies. Where specialization becomes the rule, some of the jobs that may develop include:
- a prosecutor whose main functions include intake screening, interviewing and charging. This attorney might also serve a police liaison function of the prosecutor agency, by assuring "good" cases. The effectiveness of this type of attorney largely determines the caseload of the agency.
- the trial attorney. This position will include all tasks involved in trial of the accused.
- a special attorney who will cover all aspects of a case, from investigation through the trial, but whose work will be restricted to certain types of cases: e.g., major fraud; organized crime; juvenile; family/support cases.

Superimposed over this type of local specialization is the trend toward a strong state prosecutor system, that would cross county lines. Our consultants foresee the increase of a state department of justice, funded by the state and not subject to election of officials. If such a system evolves there may be an increase in career prosecutors, since there will be greater possibility of crossing county lines for promotion, and more security for non-elected subordinates. Within this framework our consultants also foresee the development of two types of career ladders—one in the technical area and one in the managerial area.

Each participant in the study completed a knowledge checklist in which he indicated the level of various knowledges required for capable performance as a prosecutor and the level normally brought to the job by a newly appointed prosecutor. These data are shown in profile form in Table VIII-IX-3. Following each knowledge or skill is a set of numbers. These numbers refer to the tasks, listed in Table VIII-IX-2 for which our consultants felt the knowledge was relevant.

A comparison of the profiles should indicate areas in which in-service training or experience will be necessary to bring the new attorney up to full performance. Knowledge of legal writing is the only area in which knowledge is nearly sufficient. Certainly this is an area that law schools must emphasize but it leaves a vast area of knowledges and skills that must be learned on the job. And on-the-job is the way virtually every lawyer felt the knowledges had to be learned. This was true of both prosecutors and defenders. Mock trials do not approximate the real thing. It is surprising perhaps, but not a single attorney felt that law school education had been deficient in preparing him for the job as prosecutor. Rather, attorneys felt that law school provided a knowledge of "the law" and the framework within which they must learn applications to specific tasks.

Every prosecutor's office provided some level of on-the-job training.

The least sophisticated approach used graduated assignments, from simple cases to increasingly more complex, with a senior attorney working with the neophyte. Even where no other training is done, this approach allows the attorney to acquire skills without doing too much harm. Some offices have moved well beyond this stage to in-service training programs, and prosecutor

Table VIII-IX-3 Summary of Responses of Knowledge Checklist--Prosecutor

					JOB REQUIREMENT:					PROFICIENCY:					
			Level required for capable performance					1	Level of typical newly assigned personnel						
_			Expe	Expert High Moderate Slight					Expert High Moderate Slight None						
Α.	Knowledge of the judicial	nowledge of the judicial systemall tasks*				Rank			Me	diar	n Ra	nk			
	1. organization of the jud	dicial system	E	H	М	S	N	E	Н	М	rs	N			
	 role of the court in the justice 11, 17, 18, 19, 20, 21 		Ε	Н	М	S	N	Ε	Н	М	S	N			
	3. role of law enforcement	t	Ε	Н	М	S	N	E	Н	М	S	N			
	4. role of prosecutors, de 20, 21	efenders, judges	Ε	1	M	S	N	E	Н	M	S	N			
	5. the corrections process	s/probation function	E	Н	M	S	N	E	Н	М	•	N			
	6. interrelationship of the components of the system	he courts to other em	E	Н.	M	S	N	Ε	Н	М	5	N			
	7. the adversary process6, 10, 12, 13, 14, 15,	16, 20, 21	E	14	M	S	N	E	Н	M	S	N	-		
	8. the jury function		E	41	M	S	N	Ε	Н	М	S	N			
	9. the juvenile justice s	ystem 1, 12, 13, 17, 19, 20, 21	E	H	M	S	N	E	Н	M	*	N			
В.	Knowledge of jurisdiction	al rules and procedures		$ \ $											
	l. court rules and forms	15, 17, 18, 19, 20, 21	E	4	M	S	N	E	Н	M	ę s	N	,		
	2. the screening and char 1.2.3.4.5.6.7.8.	ging process 9, 10, 11, 12, 13	Е	41	M	S	N	Ε	Н	M	\ **	N			
	3. the processing of a cr		E	Н	M	S	N	Ε	Н	M	\$	N	i.		
C.	Knowledge of criminal law	rules, theory and , 11, 12, 15, 21											:		
	1. laws of arrest 3.4.6.7.8.9.12.1	5	Ε	¥	M	S	N	Ε	Н	N	S	N			
	2. juvenile law and proceed		Ε	H	M	S	N	Ε	Н	M	>	N			
	3. lineups and identifica 1, 3, 4, 6, 7, 8, 9		Ε	M	M	S	N	E	Н	M	s	N			
	4. probable cause/causation 1, 3, 4, 6, 7, 8, 9		Ε	Н	М	S	N	Ε	Н	þ	S	N			
	5. search and seizure 1. 3. 4. 6. 7. 8. 9		Ε	Н	M	S	N	Ε	Н	1	S	N			
	6. suppression of evidence	е	Е	H	М	S	N	E	Н	M	S	N			
		for which knowledge is required.	,		,		. —								

				JOB REQUIREMENT Level required for capable performance					PROFICIENCY Level of typica newly assigned personnel						
			£.,	James L.	46 /1, ₹	Sirate	None /		High	Mode	Sligh	None	./		
	7.	rules of discovery 1, 3, 4, 6, 7, 8, 9, 10, 12, 13	Ε	H	М	s	N	E	Н	М	S	N			
	8.	rules of evidence _1, 2, 3, 4, 5, 6, 7, 8, 9, 10, 12, 13, 15	E	4	М	S	N	E	Н	M	s	N	: 		
	9.	the right to counsel	Е	Η\	M	S	N	E	Н	*	S	N			
1	0.	due process rights all tasks*	Е	J	М	S	N	E	Н	K	S	N			
		plea negotiation	E (Н	М	S	N	E	Н	M	Ş	N	ŀ		
1	12.	the elements of a crime 1, 2, 3, 4, 5, 6, 7, 8, 9, 10, 11, 12, 13, 15	Е	H	М	S	N	E	Н	M	S	N	ı		
7	13.	mental competency/criminal capacity 1, 2, 3, 4, 5, 6, 7, 8, 9, 10, 11, 12, 13, 15	E	1	М	S	N	E	Н	М	y S	N			
1	4.	insanity pleas 1, 2, 3, 4, 6, 7, 8, 9, 10, 11, 12, 13	E	H	M	S	N	E	, н	М	•	N			
•	15.	affirmative defenses 1, 2, 3, 4, 6, 7, 8, 9, 10, 11, 12, 15	E	4	М	S	Ŋ	E	Н	М	s	N			
1	16.	special defenses 1, 2, 3, 4, 6, 7, 8, 9, 10, 11, 12, 15	E	1	М	S	N	E	Н	М	S	N			
•	17.	diversion 1, 2, 3, 4, 22	E	Н	M	S	N	E	Н	М	\$	N			
D.	Kn	owledge of case preparation practices		 		†									
	1.	7, 8, 9, 11, 12 use of subpoenas 1, 2, 3, 4, 5, 7, 8, 13, 15	E	Н	M	S	N	E	Н	М	\$	N			
	2.	interviewing techniques	E	¥	М	S	N	Ε	Н	М	\$	N			
	3.	2, 7, 8, 9, 14 review of physical and testimonial evidence 1, 2, 3, 4, 7, 8, 9, 10, 12, 15, 18	E	de	M	S	N	E	Н	М	s	N	:		
		utilization of investigative techniques		1											
		1, 3, 7, 8 4. criminalistics	E	Н	M	S	N	E	Н	M	}	N			
		5. photography	E	H	lan .	S	N	E	Н	M	\$	N			
		6. model building	F	Н	1	S	N	E	Н	М	•	N			
		7. forensic medicine and sciences	E		<i>7</i>	S	N	E			4	N			
	8.	policy regarding exercise of discretion	E	-/	M	S	N	E			5	N			
	9.	selection of evidence for presentation	E	H^-	М	S	N	E			S	-N			
J.		1, 2, 3, 7, 8, 9, 15 *Numbers indicate tasks for which knowledge is required.	<u>-</u> ــــــــــــــــــــــــــــــــــــ	1	1	 _	₩	<u> </u>				ات			

JOB. REQUIREMENT: PROFICIENCY: Level required Level of typical newly assigned for capable performance personne? Moderat Slight Moderat Expert 1946 High | 5 E. Knowledge of legal research techniques 3, 4, 9, 11, 12, 16, 17, 19, 20 sources and understanding of laws, case Ε materials, precedents 1 M S N E Н S N 4, 11, 19, 21 2. recent decisions Ε S S E М N Н N 4, 11, 17 3. use of legal journals, encyclopedias, E S digests, reporters, etc. Н ♦ M S Ε Н N N 4. sheppardizing Ε H M S N Ε Н M S N 11, 17 F. Knowledge of legal writing 11, 12, 16, 17 brief writing E Н S N Ε Н S N motion drafting E H S N Ε Н S N 11, 12, 16, 17 3. opinion writing E S Ε S Н N Н N judicial function 4. format requirements Ε S Н Ε Н S 12, 19 5. uniform citation methods E Н S N Ε S Н N 12, 19 Ε S Н N Ε Н M N 6. drafting of orders 12, 19 7. complaint preparation Ε S Ε H7 M N H G. Knowledge of legal proceedings 13, 15 pretrial motions S N Ε М N Ε Н 5, 6, 9, 10, 11, 12 2. warrant issuance E H M S N Ε Н 3, 4 Ε Ś Ε grand jury proceedings H Н M N conduct of preliminary hearings 4. defendant rights S N Ε H M S N E Н rules governing examination of witnesses E S E S N H 6, 136. police practices
1, 2, 3, 4, 5, 6, 7, 8, 9, 13, 15 E S E Н 7. rules governing probable cause S E 3, 4, 5, 6, 7, 8, 9, 10, 11, 12, 15

^{*}Numbers indicate tasks for which knowledge is required. VIII - 890

JOB **REQUIREMENT: PROFICIENCY:** Level required Level of typical for capable newly assigned performance personnel Sight ight None High · High S 8. filing motions E M ls Н N H 9. arraignment, entering of pleas Ε Н ls Ε Н M N 6, 12, 15 10. rules governing pleas 6, 10, 12, 15 Ε S Ε М N H M N Н conduct of bail hearings 11. rules governing the setting of bail N Ε S Н M Н N **3**, 6, 9, 10, 12, 15 S 12. conditions of release S E N E Н N Н 3, 6, 9, 10, 12, 15 13. community resources S N Ε Н М Ε H <u>3, 6, 9, 10, 12, 15</u> 14. pre-trial investigation M N M S Ε Н Ε H N 3, 6, 9, 10, 12, 15 N 15. bail review proceedings E S N Ε Н Н 6.15 H. Conduct of trials 7, 12, 13, 15, 17 courtroom decorum S Ε S N E М N Н M 6, 15, 17 2. questioning of and impaneling jurors S E M N Ε М N Н E E Н N orienting jurors and witnesses S N 13, 14 addressing the jury Ε N E M S N Н 15 examining witnesses N Ε S Ė Н M M N 5, 6, 13, 15 ₽S N making objections, motions S Ε Н M Ε M N 6, 15 S E N ruling on objections S Н M Ε М N 6. 15 N 8. trial tactics S E H M Ε M N 13, 15, 17 9. use of expert witnesses Ε S E M N Н M 3, 4, 13, 15, 17 10. jury instructions Ε S N Έ Н 12. 15. 17 11. closing arguments Ε S Ε M H 15.17 12. contempt powers Ε S Ε M N H **5, 6, 12, 13, 15** 13. legal and judicial ethics Ε S Н all tasks*

^{*}Numbers indicate tasks for which knowledge is required.

JOB

REQUIREMENT: PROFICIENCY: Level required Level of typical newly assigned for capable performance personnel * Moderat Sight . Expert Slight High I. Knowledge of sentencing practices pre-sentence investigations S Ε S Ε Н N Н М N 16 2. sentencing alternatives S Ε Ε Н N Н M N 3. bifurcated trials S Ε Н N Ε Н M N 4. dispositional planning S Ε Н N Ε Н M N 5. sentencing hearing/pronouncement S Ε Н N E Н M N 6. rules governing probation Ε Н S Ν E H M N classification and assessment of offenders S Ε Н N Ε Н M N 16, 22 J. Knowledge of appellate practices 1. court rules governing appeal Ε N Ε Н S N Н М S 2. prepare motions, memoranda Ε S Ε H M N Н N 3. oral advocacy Ε S Ε S N N Н M M 4. habeas corpus, corum nobis
1, 2, 3, 4, 5, 6, 8, 9, 10, 12, 13 Ε Н S N Ε H M N 5. post conviction remedies S E Н N Ε Н M N 11, 12, 13 6. laws related to detainers
1, 2, 3, 4, 11 Ε Ε Н S Н M N N K. Offender related knowledges 16, 22 1. drug or alcohol abuse E S N Н E H M N 2. minority culture S E E Н N Н N M 3. urban sociology Ε Н S N Ε H 4. counseling techniques E Н N Ε Н 22 Ε H S N Ε Н 5. juvenile M S Ε mental health

^{*}Numbers indicate tasks for which knowledge is required.

			JOB REQUIREMENT: Level required for capable performance						Level of typical newly assigned personnel						
		Expe	High Moderate Slight None					Expert High Moderate Slight None							
	7. educational needs assessment and services	E	Н	Me	S	N	Е	Н	M	Ş	N				
	8. vocational needs and services	E	Н	M	S	N	E	Н	М	\$	N				
	9. investigative methods & practices	E	Н	4	S	N	E	Н	М	g	N				
L.	Knowledge of administrative matters			A 4440 - 4440 - 4440	*										
	1. personnel management	Ε	Н	M	S	N	E	Н	М	S	N				
	2. case flow management	E	Н	*	S	N	E	Н	М	S	N				
	3. fiscal management	E	Н	M	S	N	E	Н	М	S	N				
	4. space and facility management	E	Н	М	s	N	Е	Н	М	S	N				
	5. jury management	E	Н	V	S	N	E	Н	М	S	N				
	6. systems management	E	Н	Įw.	S	N	E	Н	М	S	N				
M.	Other														
	1.	E	Н	М	S	N	E	Н	М	S	N				
	2.	E	Н	М	S	N	E	Н	M	S	N				
	3.	E	Н	М	S	N	E	Н	М	S	N				
	4.	Ε	Н	М	S	N	E	Н	М	S	N				
	5.	E	Н	М	S	N	E	Н	М	S	N				
	6.	E	Н	М	S	N	E	Н	М	S	N				
	*Numbers indicate tasks for which knowledge is required.		Andrew Communication and the second s	A CONTRACT OF THE CONTRACT OF											

handbooks. The handbooks we received ranged in complexity and probable usefulness. Some covered only administrative matters; others were nearly do-it-yourself handbooks, including such useful items as never offend the bailiff—make him your friend if you ever expect to see the judge privately.

In one jurisdiction we visited, the state prosecutor's office had a Training Officer who felt that preparation of a useful handbook was a high priority need. It had been continually superseded by another prepotent need—training a newly appointed prosecutor to a one—man agency "who may not even know where the courthouse is!" That state has many one—man offices, so it is regrettable that the manual to help all of them must wait while attention is paid to one of them. It would seem that a core of common knowledge could be developed, perhaps with LEAA help, so that all offices could save time and effort by having to add only those items that are unique to the jurisdiction.

Our consultants felt that in-service trairing is the most neglected part of prosecutor training. The "buddy system" is only effective if the senior attorney is a legal expert, a good trial lawyer, and a willing teacher. It is the latter qualification they felt is hardest to find. A number of developments are improving the training of prosecutors, however. Intern programs offer great promise. They serve to familiarize the student with criminal law, selecting out those who do not find it satisfying, and provide a recruitment pool for the host agency. Indeed, most prosecutor and defender agencies where there were intern programs used this as their sole source of new hires. Law schools are beginning to formalize these programs so expansion is almost certainly the trend.

Another trend in prosecutor training is the expanding role of the state associations. Regional seminars are being held and on-the-spot help (e.g.,

"circuit riders") is being provided where needed. The National College of
District Attorneys in Houston is providing seminar-type training for prosecutors,
and is going to have correspondence courses suitable for one-man offices where
training at the Houston site would be impractical. All professions seem to
be moving toward some type of continuing education to maintain certification.
The legal field has already joined this trend.

1. Findings and Conclusions

- The task descriptions developed during this study adequately define the prosecutor's position, now and in the near future.
- In the future, the relative amount of time spent on the various tasks may change, depending upon case load and the trend toward greater specialization; (e.g., investigative attorney, trial attorney, special attorney, etc.).
- Internships, and clinical programs that give a law student hands-on experience are highly valued, as both a source of training and a chance to observe the performance of potential recruits. Such programs, usually funded by LEAA should be continued and expanded.
- Although law school provides the background necessary for a prosecutor, it does not prepare graduates for trial work. However, since only a small proportion of graduates enter criminal law, on-the-job training is considered the best approach to training.
- Prosecutors, like other judicial personnel, are interested in the future of plea and sentence bargaining. Changes in the practice could have a substantial impact on positions in the court system.
- State prosecutor systems are increasing, signaling greater increase in career prosecutors, who may specialize in either technical or managerial areas.
- In-service training is piecemeal and poorly organized, but improving.
- State and national associations are aiding the development of prosecutor training.

E. ANALYSIS OF SIGNIFICANT TRENDS OR INNOVATIONS AFFECTING FUTURE AGENCY MANPOWER NEEDS

One of the major objectives throughout the course of this study was to identify any significant trends or innovations affecting criminal justice manpower training and education, and attempt to measure the current and expected future impact these trends might have upon agency and system needs.

Initially, current literature, annual reports and special studies were reviewed to identify possible trends. Lists were compiled and reviewed by teams of consultants. In addition, national associations in appropriate topical and occupational areas were solicited to review selected topics for their refinement and final selection. Those activities or topics finally chosen were addressed by field survey data collection efforts. The method utilized an activity checklist on which were listed thirteen potential organizational, functional, training or educational activities, or trends that might have been experimented with, or are currently in practice, under consideration, or scheduled for implementation in the future. On the scale exhibited in Figure VIII-IX-1, respondents, who were typically chief executives of the agency, were asked to rate each activity. Additionally, to measure projected possible manpower implications, respondents were asked to rate probable changes in these activities over the next five years using the scale pictured in Figure VIII-IX-2.

The literature had revealed that many prosecutors' offices operate pretrial or diversion programs, primarily for first offenders. However, of the prosecutors' offices sampled, only a small percentage had such programs, about half indicated they hoped to do so in the future, and the remainder

- 1 = Yes. Will definitely continue to do this.
- 2 = Yes. Will continue to do this if funds are available.
- 3 = Yes, but uncertain whether we will continue to do this.
- 4 = Not yet, but plan to do this in the near future.
- 5 = No. Would like to do this but have not been able to.
- 6 = No. No plans to do this. Uncertain of the value.
- 7 = No. Have tried it and dropped it.
- 8 = No. It is not suitable here.
- 9 = Don't know anything about it.

Figure VIII-IX-1. Scale utilized to indicate status of activities in prosecution agencies.

- +3 = Increased activity will be dramatically more than it is now.
- +2 = Increased activity will be <u>somewhat more</u> than the increase in workload.
- +1 = Increased activity will be proportional to workload increases.
 - 0 = No increase in activity of this type is expected, even if the workload increases.
- -1 = There will be a mild decrease in activity of this type.
- -2 = There will be a considerable decrease in activity of this type.
- -3 = Activity of this type will be dropped.

Figure VIII-IX-2. Scale used to indicate probable changes in prosecution activities over the next five years.

questioned the utility of such prosecutor-based programs. Although prosecutors generally agree that pretrial services and especially diversion programs are of some benefit, they were concerned about the role they could play in this process. Diversion programs for first offenders as operated by prosecutors usually amount to no more than deferred prosecution with minimal supervision and simple probationary requirements. Some offices require offenders to observe court operations, tour the local correctional facility, hear a lecture, or write an essay. The manpower required to supervise these activities may be provided by assistant prosecutors, and is only minimally time consuming. Due process problems may be created when prosecutors supervise defendants who can have charges reinstituted for failure to perform a task the prosecutor assigns. In the future these types of services may more appropriately be performed by other agencies.

Since the development of PROMIS, a growing number of agencies are attempting to computerize various management and case flow functions. Respondents were asked whether they utilized any computerized case management systems. No jurisdiction visited had implemented the total PROMIS technology, although some agencies had access to various types of computer information, and others hoped to acquire such systems soon. Not all prosecutors interviewed were totally familiar with computerized case management, and even some of those who were did not consider it appropriate for their operations. What prosecutors commonly referred to as computer usage was access to certain types of criminal record or defendant history information available from police or court-based information systems.

In the future, if more computer-based management systems are incorporated into prosecutor office operations, the impacts for manpower could be great.

Aside from evaluation, which most executives tend to shy away from, valuable information such as the nature of charges being filed, how long it takes to bring a case to trial, identification of backlogs and delay could be documented accurately and rapidly. Thus the computer becomes a management tool for assignment of personnel, workload and needs assessment. New manpower for systems operation may be required and attorneys will require minimal instruction on utilization of forms and the computer.

One of the newest trends utilized in prosecution offices is formalized victim and witness assistance programs. Of the agencies sampled, about half of the offices had programs, a third were thinking about instituting them, and the remainder either were unsure of their value or had no plans to begin such programs. Nationally, federal efforts totalling close to one million dollars a year have been invested to foster development of such programs.

The services provided by prosecutor offices to victims and to witnesses may include efforts ranging from orientation and reception services to help with transportation, employment, and assistance for psychological or other social problems as a result of their contact with the criminal justice system. These services are normally directed by a professional member of the prosecutor's staff who may or may not be an attorney. Those offices with large programs indicated that attorneys are not really needed for these programs except in an advisory capacity. However, as these programs develop, assistant prosecutors are undergoing some reorientation and training regarding how to deal with victims and witnesses.

Agency respondents were asked which they were currently utilizing: paralegals, law interns, or volunteers. The paralegal is simply defined as a nonlawyer doing work traditionally performed by attorneys. One national survey of these job incumbents conducted by Blackstone Associates indicated that the spectrum of tasks performed ranged from clerical to the application of sophisticated tasks. Because of more thorough discussion of interns in earlier sections of this chapter, they will only be briefly discussed here.

All of the offices visited employed some form of paralegal or law intern and had plans to continue to do so. The role of volunteers, however, was more limited. They were responsible for more of the service-oriented tasks performed by prosecutors than the lawyering tasks. For example, in two offices volunteers are used to staff victim/witness assistance centers while volunteers in other offices serve as rape victim counselors or screeners of minor citizen complaints. Additionally, a number of offices utilize volunteers to assist in typing and other clerical functions. The offices visited would plan to continue using the former type of volunteer services. The use of volunteer assistance for more clerical tasks will be closely related to the workload and financial resources of the office.

Again, referring specifically to the paralegal, there continues to be a trend toward their utilization in more and more areas of prosecution services. Whereas the paralegal occupation may have emerged when secretaries began to assist in the preparation of trial documents, today job incumbents perform a full range of duties. The most common of these responsibilities is service as a trial assistant. Paralegals may observe interviews and pretrial proceedings, perform witness and police liaison functions and assist generally in trial preparation. Additionally, offices have reported that they use this class of personnel to assist in the intake and screening process, operate diversion programs, operate citizen complaint centers, and even assist in such divisions as nonsupport URESA and matters related to bad checks, consumer fraud, bail

procedures, detainers, and parole or probation revocation.

While not quite paraprofessionals in a true sense, a number of individuals are beginning to perform administrative tasks that lawyers formerly performed, such as office management. The expanded duties and functions given to these employees may have a dramatic impact on many prosecutors' offices. Staff trial attorneys will devote less time and effort to tasks not requiring legal skills, and more to preparation and trial activities. Their time may be further directed toward more serious, habitual offenders. or complicated cases as law interns engage in more third-year practice in limited jurisdiction court manners.

The next major trend respondents were asked to consider was the <u>imple-mentation of formalized plea negotiation practices</u>. Two questions were addressed. First, did prosecutors have formal written guidelines governing the practice of plea or sentence negotiation? Second, had any agencies implemented no-plea-bargaining regulations, and if so, what impact did this have on manpower?

Most agencies were opposed to any formal written statement regulating negotiation practices, but preferred instead to leave this function to the individual trial prosecutor and/or his supervisor's discretion. However, what did emerge from interviews with prosecutors was a sense that unwritten office policy dictates basic rules. One, for example, requires that a charge never be reduced for a capital offense case where the offender has been convicted of major previous offenses in the past. Interviewees stressed the need for flexibility and control of the process. Additionally, prosecutors and defenders are engaging in more and more on-the-record negotiations for their own as well as the defendant's protection.

Offices visited had mixed feelings about policies for no plea bargaining.

Certainly, no negotiation would be ideal presuming offices had the sufficient manpower to take their cases to trial. This is not the case and will not be so in the near future. Therefore, three separate phenomena have been observed in those jurisdictions that are attempting to reduce negotiated pleas. First, cases are being screened at intake more carefully than ever before by more senior personnel. This helps weed out or divert the poorly investigated, possibly illegal, weak or less serious cases. Second, overcharging has been reduced and indictable counts are limited to the weight of the evidence. Third, prosecutors have been reorganized within offices to provide for better preparation and prosecution of serious or habitual offenders. Once charges are brought and an indictment returned, prosecutors will not accept pleas to lesser counts but still may accept pleas and place more emphasis on sentence recommendations.

Respondents indicated that one further trend is having some effect on manpower: more formalized law enforcement/prosecutor programs. Every agency indicated that concerted effort has been made to improve the working relationship between police and prosecutorial agencies. The most common program provides for prosecutors to work directly in concert with law enforcement from the earliest stage of proceedings. For example, prosecutor officers with major violatory units may have a number of policemen under their direct control. Therefore, starting with defendant identification and preliminary investigation phases, law enforcement becomes the investigative and detecting agency of the prosecutor's task unit.

Other offices now regularly assign prosecutors to station house duty

for the purpose of assisting police with drafting warrants and making initial

determinations of whether sufficient and legitimate grounds exist for going

forward with criminal proceedings. By this method, prosecutors have the added advantage of screening out poor or weak cases prior to or soon after intake at the police stage. The implications of such a program are many. First, a spirit of cooperation is fostered which contributes to a more smoothly functioning system. In addition, policemen are more satisfied because they are receiving on-the-spot technical assistance. If a case cannot be brought, they know why and how the situation might be remedied on short notice. The advantage to the prosecutor soon becomes obvious: the attorney for the state or municipality has created a mechanism for more careful screening. Cases which are finally brought to trial have the elements necessary to insure a successful prosecution.

1. Findings and Conclusions

- The utilization of computerized case management is growing in prosecutors' offices.
- Victim and witness assistance programs seem to be emerging as a service that will be offered in many prosecutors' offices in the future.
- The utilization of paralegals and law interns by prosecutors will probably increase in the future.

CHAPTER X. OVERALL FINDINGS AND RECOMMENDATIONS

In any study of this size there are a great many findings, some of limited interest, and some of interest across all sectors of the LE/CJ system. No attempt will be made in this chapter to describe all of the findings. Rather, the purpose of this chapter is to pull together issues and findings which seem to generalize across all LE/CJ sectors, particularly in the occupational, personnel systems, and training areas. Findings relevant to individual sectors are grouped and described in Chapter II and are discussed in context by sectors in Chapters III-IX.

A. OCCUPATIONAL FINDINGS

1. Tasks and Knowledges

Over all of the 20 key occupations studied, the task and knowledge profiles are not expected to change markedly over the next five years. The general nature of change in LE/CJ occupations appears to be evolutionary rather than revolutionary. Changes in task and knowledge requirements come piecemeal, largely because the occupations are embedded in large, organized systems which have existed for many years and which have an inherent resistance toward rapid change. Rarely, if ever, have new programs or innovative efforts necessitated novel tasks or knowledges completely unrelated to existing LE/CJ occupational requirements.

Changes will occur in the task and knowledge requirements for all LE/CJ key occupations as they must in any dynamic and rapidly changing society. The changes, however, will be in the <u>relative</u> emphasis of tasks within positions,

and in the concomitant knowledges and skills. The changes will be in degree rather than in kind. For example, civilianization within police departments may change who performs certain tasks more than create completely different tasks for sworn personnel; community-based correctional facilities may well expand counseling tasks without fundamentally changing how or when they are performed; as administrative adjudication replaces formal judicial proceedings the task and knowledge profiles of judges may change, but not disappear; increasing use of the computer may affect the profiles of related occupations in all three sectors of the LE/CJ system, but again, not to the extent that existing knowledges and skills will have to be replaced with totally new ones.

2. New Positions

There are indications in all sectors that a few new positions are emerging, due to specialization and to new developments. The positions of evidence technician, police planner, and police legal advisor are expected to grow in number and to be utilized in more law enforcement agencies.

In the courts area, paralegals and law interns appear to be taking over some non-trial work of attorneys. Parajudge and administrative judge positions are assuming responsibility in specialized areas formerly performed by judges. Concurrently, the minor judicial officer positions, such as justice of the peace, seem to be fading. The position of court administrator is too well established, perhaps, to be considered a trend, but broad expansion and clarification of the position might come about, relieving judges of many administrative and fiscal duties.

In the corrections area, however, there apparently has been less development of new occupations or at least wide acceptance of them. Positions involving the development and management of community resources and in seeking jobs in the private sector are in evidence in both adult and juvenile corrections. Experimentation

with paraprofessional parole aides, volunteer coordinators, job counselors, and different uses of ex-offenders among others have been attempted, but not adopted to the point they can be considered as positions likely to be found widely throughout corrections in the near future.

B. PERSONNEL SYSTEMS FINDINGS

1. Manpower

A general theme that seems to have surfaced during the field visits is that there have been increases in manpower across all sectors of the LE/CJ system, but the increases have not kept pace with the needs. In addition to shortages in the key occupations, a number of agencies in all sectors reported shortages in support personnel—clerks, typists, cooks, etc. Certainly all key occupations are not equally in short supply. The shortage of correctional officers is more severe than the shortage of administrators, and there is a greater shortage of patrolmen than of evidence technicians. Not surprisingly, the manpower shortages in all sectors are usually a function of fiscal limitations—there is never enough money for LE/CJ agencies to do all they want with all the staff they want.

Shortages cannot be attacked piecemeal. If law enforcement personnel increase, where are the judicial personnel to handle the increase in arrests?

If judicial staffs are increased, where are the corrections staffs to manage the prisoners and supervise parolees? The balance among the three sectors must be considered when planning for additional manpower is undertaken, but rarely is.

The imbalance in manpower among the different sectors pinpoints the need for LE/CJ system planning. Such planning has not been done in the past and only now is there a mechanism available to do so in the form of State Planning

Agencies (SPA) in each state. By preparing and revising annual comprehensive plans for reducing crime, improving criminal justice, and preventing and controlling juvenile delinquency, the SPA's facilitate mutual consideration by the specific sectors of each other's needs, standards and goals, including manpower. The SPA's are too recent and the LE/CJ systems too complex to have perfected systematic and effective manpower planning, but nevertheless an important firs' step has been taken.

2. Recruitment

One area of consensus discovered during field visits is that none of the sectors indicated having any major difficulty in recruiting able applicants at the present time or was any expected in the near future. In any state for any position there is a large pool of qualified applicants. This is, of course, a function of the current depressed economic situation in the U.S., which has caused a reduction in hiring and the creation of new positions. To a lesser extent, better and more competitive salaries, particularly for police and judicial process, have contributed to the surplus of job seekers in LE/CJ occupations.

3. Turnover

Another observation common to all sectors and also attributable to the sluggish economy is the low turnover experienced by most LE/CJ agencies in the last two years. Only the correctional officer still has relatively high turnover, and counselors to a lesser degree. None of the other key positions studied seemed to have a significant problem with employee turnover.

4. Minorities and Women

A consistent observation across all sectors was that all the agencies reported an increase in employment of minorities and women, largely as the

result of formal affirmative action programs. Most agencies felt that they will increase the ratio of minorities and women as positions become available, though competition with other employers for qualified minorities and women is very keen. While there was general agreement that more minorities are being added to staffs, it was also generally concluded that affirmative action programs have been less successful in facilitating advancement of minorities to supervisory and managerial levels.

5. Collective Bargaining

Collective bargaining units are more typically found in the law enforcement occupations than in courts or corrections. Their impact is more predominately felt in work scheduling, and to a lesser extent in training and education policies. The effect of unions in the corrections area has been minimal, but there currently is considerable activity and this is expected to grow. There is virtually no union activity in the courts area, with the exception of isolated instances such as attorneys who work for the New York City Legal Aid Society.

C. TRAINING AND EDUCATION

1. Training

Training has expanded significantly since 1970 in all sectors of the LE/CJ system, and there is no question that much of it is due to support from LEAA.

This is not to say that the availability of funds led to the need — the need has existed for years and it is not being fully met now even with LEAA support.

Preservice and in-service training were of particular interest for the NMS. While they are meaningful concepts for both law enforcement and corrections, historically they have been far less so for judicial process. Although the foundation for essential knowledges of judges, prosecutors and defenders may be acquired in law school, a large variety of skills and knowledges necessary for

performance are being provided increasingly by preservice and orientation training programs.

Within the law enforcement and corrections sectors it seems safe to say that preservice training is better developed, more formalized, and better supported than in-service training. Part of the reason for this is that the pressure is greatest to equip new personnel with the essential skills needed on the job. This is also partially due to the fact that in-service training is a continuous undertaking with constantly changing objectives which are continuously being defined in the course of a career. In-service training often does not have easily identified starting and ending points.

The law enforcement area seems to be most advanced in the area of training. This is probably because this area has historically had more training, both preservice and in-service. These programs have expanded in the last five years. Law enforcement executives are generally satisfied with basic training programs, less so with current in-service programs. Possibly in-service training will never be entirely satisfactory, since needs change, and training programs cannot stabilize to too great an extent without losing their value.

In the judicial area the availability of LEAA support seems to have made a great, if selective, impact on training, particularly in large cities. Internships or preservice programs, many of which are funded by LEAA, have allowed agencies to train personnel in the practical matters generally overlooked by law schools, and at the same time evaluate the intern's performance as a potential recruit for the agency. Changes in the economy have permitted the agencies to be somewhat more selective than formerly, and several agencies indicated that all new attorneys hired had been interns at that agency during their law school years.

In the corrections sector, there is a general trend toward developing centralized training capabilities, a trend that is shared with both law enforcement and judicial process. Preservice training is usually of better quality than in-service training and the training of some key occupations more developed than for other occupations.

A prominent training deficiency common to all LE/CJ sectors is the need for more and better management training. Almost without exception executives, directors of agencies, and training personnel cited this as a shortcoming requiring action. The need for systematic planning, programming, and evaluation skills to cope with limited financial resources, expensive work forces, and a public demanding accountability pervades the entire LE/CJ system.

While there is ample evidence that suggests training capabilities have increased during the last five years across all sectors, there is a common lack of rigorous evaluation to determine whether the training offered is effective or even relevant. There is today a fairly well developed training technology firmly based in empirical procedures that assumes the main training needs have been identified and effectively addressed. This training technology relies on systematic needs assessments, task analyses, careful specification of behavioral objectives, and evaluation in terms of performance measures among other procedures. The extent to which this training technology is being implemented in LE/CJ training generally is limited or sporadic at best. Having the basic infrastructure of training is the first step; ensuring that training is effectively developed so it achieves objectives is the next major step to be taken by LE/CJ trainers.

2. <u>Higher Education</u>

Considered across all LE/CJ sectors, the perceived importance of higher education for job performance is mixed, complex, and ambiguous. On the one hand, the importance of formal training for all key occupations in all LE/CJ sectors was widely acknowledged. The difficulty lies in differentiating the relative importance between formal training administered at an agency as part of a training course and that administered in a college classroom as part of an academic curriculum. In many cases there is little to distinguish the two forms of formal training. On the other hand, the importance of a college degree for performing specific job tasks is much more difficult to demonstrate empirically. Higher education in general, and a law degree in particular, was considered essential for the positions requiring legal training--prosecutor, defender, and judge. In corrections there was some widespread feeling that higher education can be useful preparation for some corrections positions, notably counselors, but the correlation is not as direct as for judicial positions. And in the law enforcement area the relationship between college degrees and job proficiency is not consistently evident.

Empirically, not much is known about the effects of higher education and college degrees on job performance in LE/CJ occupations. While it may be difficult to demonstrate a direct link between a college course or degree and performance on a task, this is not sufficient to claim there is no effect. Given the significance attached to higher education and college degrees in this country, the value and importance to job performance may well lie in dimensions other than task performance. It seems clear that the effects of higher education on job performance in LE/CJ occupations is, and will continue to be, a subject of intensive debate. Consequently, the issue deserves further systematic study

to test assumptions which, perhaps, have been held too uncritically in the past.

It seems reasonably clear for all the key LE/CJ occupations that higher education or a college degree per se cannot prepare an individual to assume the full responsibilities of the job. A particular academic course, however, may very effectively prepare one to perform some aspect or some tasks of the job. Generally, higher education is widely regarded as providing the theoretical framework within which the job incumbent operates, but even in the legal positions it is recognized that law schools do not teach all the practical applications needed by, say, a defender. So while higher education or having a college degree may have significant impact on attitude, motivation, confidence, and self-perception—all of which may affect quality of job performance—it alone is not likely to be sufficient preparation for any job.

D. METHODOLOGICAL CONTRIBUTIONS

A significant by-product of the field analysis program of the NMS is the task bank covering the tasks, knowledges, and performance standards required for the 20 key occupations studied. Compiled from interviews with job incumbents, verified by expert consultants and additional job incumbents nationwide, the prototype task bank covers a substantial part of the total LE/CJ personnel system and represents the broadest effort to delineate essential job requirements. While it still must be considered as preliminary and in need of wider-based validation, the task bank has tremendous potential for application in the LE/CJ system. Each task statement includes a description of what the worker does and what gets done—the behavior and the results. As such, it can be useful to LE/CJ planners in both manpower and training specialties. The task statements represent the fundamental unit which systematically can be used for designing

jobs, developing selection criteria, determining training needs, identifying performance standards for evaluation, and distinguishing job levels for setting wages.

The entire NMS occupational analysis process, of which the task bank statements are a part, represents another potentially useful by-product for local and regional LE/CJ manpower and/or training specialists. The empirical occupational analysis methodologies utilized in the NMS--beginning with how critical key occupation tasks and knowledges were identified and categorized, continuing with the instruments designed to collect task/knowledge data, and ending with how the data were validated by incumbents and job experts--can all be adapted for use by specific LE/CJ headquarters or agencies. The NMS has provided the means for the development and demonstration of the worth of the overall procedures; effective adaptation to local LE/CJ manpower and training areas will depend upon the specific conditions. Several guidelines can be offered, however.

Whether the purpose at the local or regional level is to create tasks and knowledges for occupations not already included in NNS or to validate the existing tasks and knowledges against occupational requirements in a specific LE/CJ department or agency, it is essential that: (1) the sample of incumbents used for the analysis be representative of the total incumbent population and (2) that the analysis be based on a sufficiently large number of cases. Only if these two conditions are met can it be assured that the task/knowledge requirements identified are typical to the job and that the results of any analyses are generalizable to the entire population of job incumbents.

There are several practical precautions that follow from these conditions.

One such precaution is that any occupational analysis effort should focus on

only one occupation at a time, unless experienced manpower and occupational specialists are involved. Even if the effort consists of validating task bank statements generated from the NMS, the technical requirements and staff needed to conduct an effective occupational analysis are sufficiently demanding that, for most manpower staffs, necessitates only one or two occupations to be dealt with at any one time. It is very easy to lose control over the quality when the analytic effort is spread too thin over too many occupations.

A second precaution when utilizing the NMS occupational analysis procedures is to restrict the analysis of any single occupation to one or two types of agencies. An occupational analysis of correctional counselors representative of one type of agency (e.g., adult institutions) considerably varies in scope from an analysis of counselors representative of several types of agencies (e.g., adult institutions, juvenile training schools, juvenile detention centers). Spreading an analysis over too many different types of agencies means either that the sample size within each agency type will have to be reduced or that the total number of job occupations to study will have to be dramatically increased. In the former instance, the quality of the occupational analysis suffers, in the latter, time and costs increase.

In summary, the occupational analysis procedures and data instruments that were developed and validated for the NMS are applicable to many other LE/CJ situations involving manpower and training. While the basic methodology can be replicated, it is not possible to prescribe specific steps that can be performed in "Cookbook" fashion equally well across all situations. Adaptation to local needs and conditions almost certainly will require adaptation of occupational analysis methods.

APPENDIX

FIELD ANALYSIS METHODOLOGY

A. ORGANIZATION OF THE PROJECT

1. A.I.R. Management

The internal management of the project was under the direction of a Principal Investigator, Dr. Albert S. Glickman, and a full time Project Director, Dr. Robert W. Stephenson. Dr. Daniel B. Felker was the Project Director during the last months of the project. These individuals were responsible for the planning and supervision of the project, and for making initial contacts at regional and state headquarters of the sites visited. They also provided the primary liaison with the prime contractor and the sponsoring agency.

2. Task Forces

Three task forces were set up, each consisting of a technical specialist and personnel specialists. One task force, responsible for the activities within the law enforcement area, included Mr. Louis O. Richardson, as technical specialist and Dr. Gary B. Brumback as the personnel specialist. In the courts area the team consisted of Mr. William M. Trencher as the technical specialist and Dr. Dorothy S. Edwards as the personnel specialist. In the corrections area, the technical specialist was Mr. Dennis Osterman and the personnel specialists were Drs. Dan Felker, Robert Frey, Barry Goodstadt, and Ms. Tania Romashko.

This division of effort does not imply that the three teams worked entirely independently. Every effort was made to maintain a high level of communication among the team leaders and all staff engaged in the project, through frequent meetings and written communications. For example, each week a chronological file was circulated among all staff working on the project, including contributions from all staff, the prime contractor, the other subcontractor, and the sponsoring agency.

In addition, the teams worked together to assure as much similarity among data collection instruments as was consistent with special characteristics of various agencies.

The law enforcement and courts teams consisted throughout the project of the pairs of individuals named. The corrections team was augmented at various times with additional staff. This was necessitated primarily by the larger number of individual agencies that had to be visited to attain proper coverage of the occupations under study, and by some turnover within A.I.R.

3. Consultants

A number of Consultants were used at selected times to aid the project staff in devising procedures, developing content, and in reviewing results of occupational analyses. Consultants were used typically in conferences established for specific purposes. These are presented in the List of Conferences on the following five pages.

List of Conferences

Date	Name of Conference	Consultants
Sept. 6-7, 1974	Briefing on Project STAR	Dr. Charles P. Smith
		American Justice Institute
		Project STAR Director
		Marina Del Rey, California
Dec. 4-9, 1974	Job Analysis Training Conf.	Dr. Sidney Fine
		W.E. Upjohn Institute for
		Employment Research
· *		Washington, D.C.
Mar. 7, 1975	Task/Knowledge Development -	Dale Beerbower
	Law Enforcement	Director, Criminal Justice
		Programs
•		Florida Junior College
•		Jacksonville, Florida
		James Stinchcomb
		Director, Criminal Justice
		Programs
		Virginia Commonwealth University
		Richmond, Virginia
	t	
	* 	Miles R. Warren
		Associate Director
		Human Resources Mgmt. & Develop
		Program
		Kansas City, Mo. Police Dept.
		George Greisinger
d.		Director, Human Resource Mgmt.
		& Development Program
		Kansas City, Mo. Police Dept.
		James P. Morgan
		Faculty, Criminal Justice Dept.
福建设置 医乳毒素 化二氯		Virginia Commonwealth University
		Richmond, Virginia
Mar. 11-14, 1975	Task/Knowledge Development -	Marshall Hartman
1101 · 11 14, 19/9	Judicial Process	National Legal Aid & Defender
	Judicial Trocess	Services
		Chicago, Illinois
		onicago, illinois
		Nancy Goldberg
		National Legal Aid & Defender
		Services
		Chicago, Illinois
		Douglas Langford
		Executive Director
		American Academy for Judicial
		Education
		Washington, D.C.
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Mar. 11-14, 1975	Task/Knowledge Development - Judicial Process (continued)	Alan Ashman Director of Research American Judicature Society Chicago, Illinois
		Daniel J. Sullivan 1st Asst. District Attorney Manhattan Dist. Attorney's Office Seaford, New York
		David J. Saari American University Center for Administration of Justice Washington, D.C.
		David Bourland National District Attorneys Association Chicago, Illinois
		Dr. Peter Haynes Center for Judicial Administration University of Southern California Los Angeles, California
Mar. 22, 1975	Task/Knowledge Development	Dr. Knowlton W. Johnson Institute of Criminal Justice and Criminology University of Maryland College Park, Md.
Nov. 5, 1975	Task/Knowledge Development - Juvenile Corrections	Dr. Rosemary Sarri Co-Director of National Asso- ciation of Juvenile Corrections and Professor of Social Work University of Michigan Ann Arbor, Michigan
Apr. 9,10, 1976	Occupational Analysis - Juvenile Institutions	Samuel Sublett, Administrator Juvenile Division Dept. of Corrections St. Charles, Illinois
		Larry Grauberger Grants Admin. & Planning Coordinator Dept. of Institutions Div. of Youth Services Denver, Colorado
Apr. 13, 14, 1976	Occupational Analysis - Adult Probation/Parole	William Kyle Director, Field Services Florida Probation/Parole Commission Tallahassee, Florida

April 13, 14, 1976 Occupational Analysis -Norman Katz Adult Probation/Parole Maryland Div. of Parole and Probation | Baltimore, Maryland Occupational Analysis -Alan Tudor Adult Community Based Florida Dept. of Offender Corrections Rehabilitation Community Correctional Centers Tallahassee, Florida Ronald Amaral, Supt. MCI Boston Pre-Release Center Dorchester, Mass. April 15,16, 1976 Occupational Analysis -Evelyn Slaght Juvenile Community Based Maryland Youth Dept. of Corrections Corrections Baltimore, Maryland Paul Isenstadt National Assessment of Juvenile Corrections University of Michigan Ann Arbor, Michigan William Smith April 19, 1976 Occupational Analysis -Juvenile Probation/ Parole Div. of Youth Services Tallahassee, Florida William Litsinger Juvenile Community Based Services Baltimore, Maryland April 23,24, 1976 Occupational Analysis -William Dawber Adult Institutions Former Supt., Diagnostic Center Norfolk, Mass. Larry Meachum Assoc. Commissioner of Corrections Massachusetts April 26, 1976 Occupational Analysis -Roy C. McLaren, Chief Criminal Investigator Arlington County Police Dept. Investigative Services Supt. Arlington, Virginia Wretha Wiley Self-Management Systems Washington, D.C. April 27, 1976 Occupational Analysis -Roy C. McLaren, Chief Patrol Officer, Arlington County Police Dept. Patrol Officer Super. Arlington, Virginia

April 27, 1976	Occupational Analysis - Patrol Officer, Patrol Officer Super.	George Greisinger, Director Human Resources Mgmt. & Develop- ment Project Kansas City Police Dept. Kansas City, Mo.
April 28, 1976	Occupational Analysis - Chief Executive, Mid-Level Manager	Roy C. McLaren, Chief Arlington County Police Dept. Arlington, Virginia
		George Greisinger, Director Human Resources Mgmt. & Develop- ment Project Kansas City Police Dept. Kansas City, Mo.
		idibab ozey, ito.
April 29, 1976	Occupational Analysis - Legal Advisor	Thomas A. Hendrickson Super. Attorney, IACP's Police Legal Center Gaithersburg, Maryland
		George Greisinger, Director Human Resources Mgmt. & Develop- ment Project Kansas City Police Dept.
April 30, 1976	Occupational Analysis -	Gary Howell, Asst. Director
	Evidence Technician	of Operations Regional Crime Laboratory Independence, Missouri
		George Greisinger, Director Human Resources Mgmt. & Develop- ment Project
		Kansas City Police Dept. Kansas City, Mo.
Mars 1 1076	Occupational Analysis	Miles Warren
May 1, 1976	Occupational Analysis - Police Planner	Personnel Task Force
		Kansas City Police Dept.
		Kansas City, Mo.
		George Greisinger, Director
		Human Resources Mgmt. & Develop- ment Project
		Kansas City Police Dept. Kansas City, Mo.
A	Ordinary and America	
April 27, 1976	Occupational Analysis - Prosecutor	Joseph Lyons Chief, Trials Div.
	rrosecutor	Baltimore State Attorney's Office Baltimore, Md.
		이 몸이 그리고 있다. 아이들의 없지 않았다. 하루 관심 중요 모양을

	1	•
April 27, 1976	Occupational Analysis - Prosecutor	Steven Montanarelli Baltimore County State's Attorney's Office Towson, Md.
April 28, 1976	Occupational Analysis - Defender	Stuart Stiller Stiller, Adler and Schwartz Washington, D.C.
		Harold Jacobson New York Legal Aid Society New York, N.Y.
April 29, 1976	Occupational Analysis - Judge	Paul M. Li Director California Center for Judicial Education & Research Berkeley, California
	•	Tim Murphy Judge in Superior Court for District of Columbia

Stuart Spirn
Court Specialist
Council on Criminal Justice
Div. of Justice & Crime
Prevention
Virginia SPA

Washington, D.C.

April 30, 1976 Occupational Analysis - Court Administrator

Larry Polansky
Deputy Court Administrator
City Hall
Philadelphia, Pa.

Carolyn Cooper
Deputy Director
Criminal Courts Tech.Asst. Project
American University Law Institute
Washington, D.C.

B. SELECTION OF KEY OCCUPATIONS

The contract required the study of 20 key occupations across the three LE/CJ sectors. Each task force nominated occupations for study, the list far exceeding 20. Sources of nominations included the knowledge of the technical experts, within A.I.R. and NPA, literature review, a day-long conference with the director of Project STAR, and the opinions of expert consultants outside A.I.R.

The combining of data from these many sources yielded some deletions and additions to the list, but priorities were assigned, within and across the three sectors of the LE/CJ system. Compromises were made, argument de-fused, and a final list, satisfactory to all was assembled, as follows:

Law Enforcement:

Police Chief Executive
Police Mid-Level Manager
Patrol Officer
Detective/Criminal Investigator
Criminal Investigator Supervisor
Patrol Line Supervisor
Police Planner
Police Legal Advisor
Evidence Technician/Crime Scene Analyst

Judicial Process

Judge - Court of General Jurisdiction Judge - Court of Limited Jurisdiction Court Administrator Prosecutor Defender

Corrections

Community Correctional Administrator Correctional Institution Administrator Correctional Officer Probation Officer Parole Officer Counselor/Caseworker These positions and occupations were considered to represent: (1) a fair cross-section of the occupations of the LE/CJ sectors; (2) those most directly related to the primary operating missions of the agencies; (3) those most useful in the analysis of career progression, particularly in the case of the primary "line" positions; and (4) those that best characterized occupational groups or subgroups with roughly comparable levels of education and training requirements, so that they might serve as a representative prototype of a given group.

C. DATA REQUIREMENTS DETERMINATION

As with any project that includes on-site interviewing, the data needs for the National Manpower Survey initially exceeded any possibility of being met in less than a two-day intensive interview. The problem was one of winnowing down the needs to a realistic goal. This was done through a literature review to determine what questions could be answered with some confidence from presently available data, what questions were essentially unanswerable from existing data, and what questions could only be answered piecemeal or equivocally.

1. Survey of the Literature

A broad search of published literature in the subject areas was conducted. This review served to acquaint the personnel specialists with the content of the area of their team, and to aid in the design of the instruments. During the literature review phase there was mutual exchange among the three contractors of sources and literature relevant to their separate responsibilities. Within A.I.R. the literature review was aimed at a search for information about current and emerging occupations, personnel and training information, future trends of the agencies, and of positions and special projects or innovations relevant to the positions under study.

2. Coordination with NPA and BSSR for Data Needs

Frequent meetings and written exchanges were made with the staffs of NPA and BSSR to determine what relevant information could be included in the A.I.R. survey that would be useful to their efforts. The recurring question, which has never been satisfactorily answered, is how differences in data from an A.I.R. survey of perhaps 5-20 incumbents can be reconciled with contrary data from the BSSR survey of hundreds of incumbents. To be sure, interviewees with whom good rapport is established will often make statements that they would be unwilling to commit to paper. On the other hand, their overt behavior may be more in line with their written statements than with private opinions.

The final allocation of responsibility charged A.I.R. with gathering information about the occupations and the knowledges required in order to function in these occupations. These were the primary goals.

In addition, A.I.R. was assigned responsibility for gathering statistical and opinion data on a number of personnel-related questions, and on special trends and activities being carried out by various agencies.

D. DATA COLLECTION INSTRUMENTS

1. Type

It was recognized very early in the study that some of the data collection instruments would have to be self-administering, to be completed in group sessions during a site visit, or by the incumbent on his own, to be returned to A.I.R. after the visit was completed.

Other data could best be collected only during face-to-face interview, because wide system variations made multiple choice responses impractical, because the questions involved personal opinions, and because the magnitude

of the task virtually guaranteed that mail returns would not be forthcoming.

Every effort was made to develop instruments that required a minimum of writing,

by precoding wherever possible, and by holding open-ended questions to a

minimum.

Because of its usefulness in tying knowledge data to job tasks, the Functional Job Analysis (FJA) technique was selected as the method that would be used for the task analysis phase of the study. Accordingly, a team of experienced job analysts was selected early in the project, and were given the detailed training required for FJA. Dr. Sidney Fine, developer of the technique, gave the training and supervised the trainees during their initial use of the procedures.

2. Purpose of the Instruments

The instruments developed were designed to collect first hand information as efficiently as possible about the 20 occupations selected for study, and on trends and activities observed in the agencies sampled. The occupations were studied in greatest detail, and with greatest consistency across the three sectors of the LE/CJ system.

3. General Content

The FJA technique breaks a job down into its component tasks—discrete elements of the job that may or may not be performed by every incumbent. For each task, data are collected concerning knowledges or skills required, and means by which level of performance may be evaluated. It was felt that the variations in the occupations across different agencies within the same LE/CJ sector could best be identified through such a detailed approach to job analysis. Three forms were developed for the specific purpose of collecting occupational information.

- a. <u>Task Checklist</u>. Each task was briefly described, usually by presenting only the first phrase (what is done) of the full task statement, with questions asking the incumbent to indicate whether he performs the task, and if he does how much time it takes, where it was learned, and how much training had been received.
- b. <u>Task Analysis Form</u>. This form contained the full task statement, with instructions to the incumbent to edit the task statement to make it suit his own position, and a set of questions following each task statement. The set of questions, with multiple choice responses, asked the best way to learn the task, how difficult it was to learn, and whether college courses were necessary for learning the task. The latter question was deemed particularly significant because of the current controversy over the advantage of a college education for many LE/CJ occupations.
- c. <u>Knowledge Checklist</u>. A list of knowledges and skills was developed for each key occupation. The list was compiled from various sources: literature review; catalogs of colleges, training and academies; discussions with experts in the area; and judgment of the technical specialists of the A.I.R. staff. On this form the incumbent was to indicate the level of each knowledge required for competent performance of the job and the level the typical new hire has when he comes to the job.

(Note: The three forms just described differed somewhat for different sectors of the LE/CJ system. For the courts area, the Task Checklist and the Task Analysis Form maintained a one-to-one relationship. That is to say, the abbreviated task statement on the Task Checklist was taken directly from the first phrase of the Task Analysis Form. All knowledges for the judge, prosecutor, and defender positions were presented on a single form. This was

possible because the number of tasks and the number of knowledges were relatively small.

In law enforcement and corrections, however, the tasks and knowledges far exceeded what a single incumbent could be expected to read through, in order to identify those relevant to his own positions. Closely related tasks were combined into a single abbreviated statement for preparation of the task checklists. Similar procedures were followed to reduce the size of the knowledge checklists, and to eliminate knowledges that staff and consultants felt had no relevance to the position.)

The three forms just described were completed by incumbents. The other types of data instruments are briefly described in the following sections.

These instruments were normally completed by the A.I.R. member during an interview.

- d. Agency Survey Form. This form was used to gather some general and statistical information regarding type of community, agency workload, positions within the agency turnover, and fiscal information.
- e. <u>Executive Interview Form</u>. This form was used in interviewing the top official in each agency visited. The questions differed somewhat, depending upon the known characteristics of the type of agency, but generally dealt with manpower and training problems, at present and within the next few years.
- f. Activities Checklist. An activities checklist was developed for each sector, listing trends, innovations, or special experimental programs of recent years. Executives were asked about each of these activities, with regard to whether their agency had tried the program, and if so, whether it

would be continued. Further questions dealt with probable future developments with regard to the various activities--increase, no charge, or decrease in the level of effort.

- g. <u>Innovations Form</u>. A form covering the innovations that had been selected for study in each sector was used in interviewing the executive or most relevant person at each agency visited. The form contained more detailed questions than the activities checklist, but covered fewer innovative programs.
- h. <u>Personnel Department Interview</u>. This form was used when interviewing the personnel officer, if there was one, at each agency visited. Where there was no personnel officer the questions were asked of the individual(s) most knowledgeable about personnel matters—hiring, career ladders, separations, etc.
- i. Training Department Interview. This form was used when interviewing the training director when the agency had a special training department. In agencies without training departments the questions were asked of the individual(s) most knowledgeable about in-service training, workshops, seminars, and other special programs.

Prior to a pilot try-out of the data collection instruments, they were reviewed and modified by panels of experts in the three technical areas--police, courts, and corrections.

The individual forms used at the various agencies are listed on the following pages by LE/CJ sector: law enforcement, courts, and corrections. The forms themselves are presented, in the sequence of the list, in Attachments A, B, and C to this Appendix.

Law Enforcement

- 1. Task Checklist for key occupations
- 2. Task Analysis form for key occupations
- 3. Knowledge Checklist for key occupations
- 4. Agency Survey
- 5. Executive Interview form for Agency Administrator
- 6. Activities Checklist
- 7. Innovations
 - Role of Higher Education
 - Formation of Employee Associations
 - Representation of Women & Minorities
 - Utilization of Personnel
 - Technology
 - Innovative Policing Strategies
- 8. Personnel Department Interview
- 9. Training Department Interview

Judicial Process

- 1. Task Checklist for key occupations
- 2. Task Analysis form for key occupations
- 3. Knowledge Checklist for key occupations
- 4. Agency Survey form for key occupations
- 5. Executive Interview for Agency Administrator
- 6. Activities Checklist for key occupations
- 7. Innovations
 - Pre-trial services
- 8. Personnel Interview form for key occupations
- 9. Training Interview form for key occupations

Corrections

- 1. Task Checklist for key occupations
- 2. Task Analysis form for key occupations
- 3. Knowledge Checklist for key occupations
- 4. Combined Department/Agency/Facility Personnel Survey form
 - Adult
 - Juvenile
- 5. Executive Interview form for State Headquarter Locations
- 6. Executive Interview form for Agency Administrator
- 7. Planning Staff Interview form for use at State Administrative Offices
- 8. Activities Checklist
 - Adult Parole Headquarters
 - Adult Correctional Headquarters
 - Juvenile Aftercare Headquarters
 - Youth Corrections Headquarters
- 9. Innovations
 - Work and Study Release Programs (Adult)
 - Small and Community-based Correctional Facilities (Adult and Juvenile)
- 10. Training Department Interview form
 - Juvenile
 - Adult

4. Applicability

Because of differences within agencies some of the forms had to be modified, either in content or in method of administration. For example, the agency survey was sometimes left at the agency because statistical information was not readily available. Or, in cases where the position under study did not exist, a form was given to someone in a closely related position who performed many of the duties of the position.

Variations in the forms and procedures resulted from experience with them during a series of try-outs before the forms were sent for OMB clearance. Try-outs were held in Kansas City, Missouri; Jacksonville, Florida; Atlanta, Georgia; and Norfolk/Virginia Beach, Virginia. These try-outs primarily indicated the need to trim the length of the forms, since very few individuals were able to spend the time that would have been required to complete all forms.

During these try-outs the technical specialist and the personnel specialist jointly conducted all interviews. It was recognized that during the actual survey the two-person approach would be too time-consuming and expensive, so the try-out offered each specialist an opportunity to find out what techniques the other used to draw out information relative to his specialty.

E. SAMPLING PROGRAM

A list of 28 metropolitan areas was compiled from which the final selection was made. These 28 areas were identified as meeting the following criteria:

- Regional representation--at least one metropolitan area in each of the 10 LEAA regions.
- Population size and characteristics—a disproportionately high representation of the larger metropolitan areas, including central cities and suburbs, and of cities with a relatively high proportion of non-white personnel. These areas generally have the most severe crime problem.
- Crime rates--disproportionately high representation of high crime metropolitan areas, based upon crime rate and socio-demographic characteristics.
- LE/CJ characteristics. Three available indicators were used as descriptive of specific agency characteristics, and the general approach to crime control:

- -Percentage of non-sworn personnel in the police department of the SMSA's control city. Increased utilization of civilians has been proposed as a means of increasing cost-effectiveness and of improving utilization of sworn officers.
- -Ratio of prisoners to total population (state level). Although greatly influenced by crime rate, this ratio is also an indicator of the state's correctional orientation.
- -Court organization. State courts systems have been grouped as either completely unified, partially centralized, or completely decentralized. Increased court centralization has been considered a desirable trend.
- -Police department employment growth. At the suggestion of a member of the Advisory Board a range in growth rates of police department was added as one of the criteria.

A final criterion, not listed, had to be the necessity for selecting sites where the likelihood of cooperation was high. This information was obtained during the initial visits to SPA directors of the states concerned and with LEAA national and regional staffs.

A list of the field visits, including agencies, is shown on the following pages. It will be noted that the corrections team visited corrections head-quarters as well as different types of adult and juvenile agencies. This was necessary because of the organizational structure of corrections and the potential significance of type of agency on task and knowledge requirements.

Sites of AIR Field Visits

	Visits Completed
State Planning Agencies (10)	10
Corrections Headquarters Locations (36)	
Adult Corrections	10
Juvenile Corrections	9
Probation/parole service agency Hq.	13
Parole Boards and other	4
Adult Corrections agencies (49)	
Jails	9
Institutions	19
Community-based programs	12
Probation/parole service agencies	9
Juvenile Corrections agencies (46)	
Detention centers	10
Institutions	9
Community-based programs	17
Probation/aftercare service agencies	10
Law Enforcement agencies (31)	
State police departments	2
Sheriffs departments	6
Large Municipal/County police agencies	7
Medium/Small Municipal/County agencies	16
Judicial agencies (54)	
State headquarters locations	13
Courts of general jurisdiction	9
Courts of limited jurisdiction	6
Juvenile courts	0
Prosecutor offices	9
Defender offices	9
Other	_8_
Total	226

State Planning Agencies

- 1. Governor's Commission on Law Enforcement and Administration of Justice Cockeysville, Maryland
- 2. Illinois Law Enforcement Commission Chicago, Illinois
- 3. State of New York, Division of Criminal Justice Services New York, New York
- 4. Committee on Law Enfocement and Administration of Criminal Justice Boston, Massachusetts
- 5. Iowa Crime Commission Des Moines, Iowa
- 6. Bureau of Criminal Justice Planning and Assistance Tallahassee, Florida
- 7. Division of Criminal Justice Department of Local Affairs Denver, Colorado
- 8. Criminal Justice Council Austin, Texas
- 9. Executive Department, Law Enforcement Council Salem, Oregon
- 10. California Council on Criminal Justice Sacramento, California

LAW ENFORCEMENT FIELD SITE VISITS

STATES	LARGE MUNICIPAL/COUNTY POLICE AGENCIES (500/more total sworn & nonsworn fulltime police personnel)	MEDIUM/SMALL MUNICIPAL/COUNTY POLICE AGENCIES (500/less total sworn & nonsworn fulltime police personnel)	SHERIFF'S AGENCIES WITH LAW ENFORCEMENT RESPONSIBILITIES	STATE LAW ENFORCEMENT AGENCIES
MARYLAND		•Anne Arundel County Police Dept. •Howard County Police Dept.		
ILLINOIS		•Carol Stream Police Dept. •Downers Grove Police Dept.	●Cook County Sheriff's Dept.	
NEW YORK	•Rochester Police Dept.	•Greece Police Dept.	•Monroe County Sheriff's Dept.	•New York State Police
MASSACHUSETTS	•Boston Police Dept.	•Newton Police Dept. •Quincy Police Dept.		
IOWA		•West Des Moines Police Dept. •Des Moines Police Dept.	•Polk County Sheriff's Dept.	
FLORIDA	•Miami Police Dept. •Dade County Public Safety Dept.	•Hialeah Police Dept.		
COLORADO	•Denver Police Dept.	•Lakewood Dept. of Public Safety	•Boulder County Sheriff's Dept.	
TEXAS	•Dallas Police Dept.	•Mesquite Police Dept. •Arlington Police Dept.		•Texas Dept. of Public Safety
OREGON	•Portland Police Bureau	•Milwaukie Police Dept.	Multnomah County Sheriff's Department	
CALIFORNIA		Santa Monica Police Dept. Bell Gardens Police Dept.	•Los Angeles County Sheriff's Dept.	
TOTAL	7	16	6	2

JUDICIAL PROCESS VISITS BY AGENCY TYPE

STATE	HEADQUARTERS	COURT - GENERAL	COURT - LIMITED	PROSECUTION	DEFENSE	OTHER
MARYLAND	•Md. State Public Defender •Admin. Off. of the Md. Courts •Admin. Off. of the Md. Dist. Courts			•Baltimore City States Attys. Office	•Baltimore District Public Defender	
ILLINOIS	•Admin. Office of the Illinois Courts	•Cook County Circuit	Court		●Cook County Public Defender	•Illinois Law Enforcement Council
NEW YORK	•Office of Court Admin. of the State of New York	•Monroe County Supreme Court	•Monroe County County Court	•Monroe County District Attorney	•Monroe County Public Defender	
MASSACHUSETTS	•Supreme Judicial Court of Mass. Admin. Office •Dist. Court of Mass. •Mass. Def.Comm.	•Superior Court Suffolk County	•District Court (Statewide)	•Suffolk County Dist. Attorney	•Suffolk Dist. Defender Office	
IOWA		•Polk County Court		•Polk Co. Attorney's Office	Polk County Offender Advocate	
FLORIDA	•Supreme Court of Florida	Dade County Circuit Court 11th Judicial Circuit		•Dade County States Attorney	•Dade County Public Defender	•Florida Prosecuting Attorneys Assn. •Florida Public Defenders Assn.
COLORADO	•Colorado Admin. Off. of the Courts •State Public Defender	•Denver District Court	•Denver - County Court	•Denver City & County Dist. Attorney	•State Public Defender Denver Office	
rexas		•Dallas County Criminal Dist.Ct.	●Dallas County Criminal Court	•Dallas County District Attorney		●Criminal Defense Lawyers Project ●Texas Center for the Judiciary ●Texas Jud. Council
OREGON	•Oregon Supreme Court	•Multnomah County Circuit Court	•Multnomah County District Court	•Multnomah County District Attorney	•Metropolitan Defender Services	•Oregon LE Council
CALIFORNIA	•California Judicial Council	•Los Angeles County Superior Court	•Los Angeles Co. Municipal Ct.	•Los Angeles County District Attorney	•Los Angeles County Public Defender	•California Center for Judicial Education and Research
TOTAL	13	9	6	9	9	8

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CORRECTIONS HEADQUARTERS LOCATIONS

STATES	ADULT CORRECTIONS	YOUTH CORRECTIONS	INDEPENDENT PROBATION/PAROLE SERVICE AGENCY HEADQUARTERS	PAROLE BOARDS AND OTHER
MARYLAND	Department of Corrections	•Department of Juvenile Services	•Department of Probation and Parole	•Department of Public Safety and Correctional Services
ILLINOIS	•Adult Division, Department of Corrections	•Juvenile Division, Department of Corrections		
NEW YORK	Department of Correctional Services	•N.Y. State Division for Youth		·
MASSACHUSETTS	•Department of Adult Corrections	•Department of Youth Services	•Commissioner of Probation	•Parole Board
IOWA	Division of Correctional Institutions ●Bureau of Comm. Correctional Services	•Children Services Division, Department of Social Services		
FLORIDA	•Division of Adult Services	•Division of Youth Services	•Commission of Probation and Parole	
COLORADO	•Division of Correction:	•Youth Services Division		•Department of Social Services
TEXAS	•Texas Department of Corrections	•Texas Youth Council		•Board of Pardons and Parole
OREGON	•Corrections Division			
CALIFORNIA	•Department of Corrections	California Youth Authority		
TOTALS .	10	9	3 independent plus 10 subordinate	4

ADULT CORRECTIONS AGENCIES

STATE	JAILS	INSTITUTIONS	COMMUNITY-BASED PROGRAMS	PROBATION-PAROLE SERVICE AGENCIES	TOTAL NUMBER OF VISITS
MARYLAND .	•Baltimore City Jail	•Maryland Correctional Training Center (Hagerstown) •Maryland House of Corrections (Jessup)	•Community Vocational Rehabilitation & Release Center	Baltimore County Probation/Parole Office	5
ILLINOIS	•Cook County Jail	•Vienna Correctional Center	•WIND Work Release Program		3
NEW YORK	•Monroe County Jail	•Albion •Attica	•Rochester Correctional Facility (pre-release)		4
MASSACHUSETTS	•Middlesex County House of Corrections	•Massachusetts Correctional Institution Walpole	MCI Shirley (halfway house) Massachusetts Halfway House (Boston)		4
IOWA	•Polk County Jail	•Iowa State Men's Reformatory	•Riverview Release Center	•Fifth Judicial District Department of Court Services	4
FLORIDA	•Dade County Jail	•Glades Correctional Institution	•Miami-North (pre-release center)	•Miami Probation/Parole Office	4
COLORADO		Buono Vista Reformatory Canyon City Penitentiary	●Bails Hall (work release) ●Fort Logan (ed. release) (BEG) ●Employ X	•Parole Service Center	6
TEXAS	•Dallas County Jail	●Ferguson Unit		•Field Parole Office in Dallas •Adult Probation Department	4
OREGON"	•Rocky Butte Jail	•Oregon State Penitentiary •Oregon State Corrections Institution •Oregon State Women's Correctional Center		•State Probation/Parole Office •Burglary Project	6
CALIFORNIA	•L.A. County Jail	•San Quentin •Susanville Skill Center •San Luis Obispo Men's Colony •California Medical Facility (Vacaville) •California Rehabilitation Center	•Central City Community Center •Central Testing (Clinic)	•Regional & District Parole Office	9
TOTALS	9	19	12	9	49

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		Juvenile Corrections A	gencies	Revised	1/23/76
STATE	DETENTION CENTERS	INSTITUTIONS	COMMUNITY-BASED PROGRAMS	PROBATION/AFTERCARE SERVICE AGENCIES	TOTAL NUMBER OF VISITS
MARYLAND		•Maryland Training School for Boys	•Youth Services Center	•Baltimore City Office, Maryland Dept. of Juvenile Services	3
ILLINOIS		●Illinois Youth Center - Valley View	•United Delinquency Inter- vention Service	• Joint Youth Development Program	3
NEW YORK	•Monroe County Children's Detention Center	●Industry School ●Urban Home #4	•Rochester Monroe County Youth Bureau		4
MASSACHUSETTS	Roslindale Youth Center Charlestown Overnight Arrest Program Camp Halifax DYS Detention and Assessment Center for Girls		•Cambridge Youth Resources Centers •Hastings House •Community Advancement Program	•Regional Office, Youth Services	8
IOWA	●Polk County Juvenile Home	•Eldora Boys Facility •Mitchelville Facility for Girls	●Youth Guidance Program ●ADAPT Inc.	•Polk County Juvenile Court Probation Office	6
FLORIDA	●Youth Hall ●Non-Secure Detention	•Florida School for Boys at Okeechobee	Pentland Hall (halfway house for girls) Dade Marine Institute Miami TRY Center		6
COLORADO			•Westside Youth Dev.Prog. •New Pride •S.W.Youth Employ.Service •Jefferson County Dept. of Social Services	•Juvenile Court Services, Denver Juvenile Court	5
TEXAS	Dallas County Juvenile Detention	•Gainesville State Home and School		Juvenile Parole - Area 3 Dallas County Juvenile Probation	4
OREGON			•Morrison Center (DF)		1
CALIFORNIA	•Southern Reception Center and Clinic (Norwalk)	•Fred C. Nelles School	•Pomona juvenile diversion project (DF)	SPACE reentry program CYA Parole Zone III CYA Compton Community Parole Center (Ujima)	6
TOTALS	10	9	17	10	46

F. DATA COLLECTION PROGRAM

1. Pre-visit Preparation

Either the Principal Investigator or the Project Director made the initial contact in each state. An appointment for a visit was set up by telephone to the state planning agency. During a one or two day visit the purpose of the study was described, and needs of the various research teams set forth. Through the excellent cooperation at this level, a list of appropriate initial contacts was assembled for each team. These trips were of further value in alerting the teams to potential problems that might be encountered during individual visits, and in making the final selection of cities and agencies to be visited.

2. Agency Visits

Visits to the agencies included in the study were conducted between September 1975 and February 1976. Executives and directors of personnel and training were interviewed; the self-administering forms (task checklist, task analysis, and knowledge checklist) were either left with a coordinator to be distributed and returned to A.I.R., or administered to small groups by the A.I.R. team member. At some agencies one official assumed responsibility for coordinating all visits; at others, the A.I.R. team member made all his own arrangements. Both approaches were satisfactory, and most visits were completed within 3-5 days. Return trips were necessary at a few agencies where key people were unavailable, usually because of some local emergency.

3. Follow-up Procedures

At agencies where the team had to leave forms to be completed and returned to A.I.R., follow-up procedures, first by mail, and then by telephone, were carried out. Unfortunately the results of the follow-up were generally not satisfactory, and no further attempt was made after the second telephone call.

4. Special Procedures

Law Enforcement

The law enforcement team made greater use of local coordinators than did either of the other teams. The procedures used by these coordinators are described in the guidelines left with them, and reproduced on the following six pages.

AGENCY COORDINATOR GUIDELINES FOR COMPLETION OF OCCUPATIONAL ANALYSIS INSTRUMENTS

The following information regarding instruments we are using to collect occupational and knowledge/skill data for key law enforcement occupations is intended to facilitate the coordinating function you are performing for us. If questions arise which are not answered in the guidelines, please call any one of the following persons at area code 202, 686-6800:

- Louis O. Richardson
- Dr. Gary Brumback
- Dr. Robert W. Stephenson
- Ms. Marian Fox

Copies of eleven instruments are being left with you for dissemination to appropriate personnel, collection of completed forms, and return to us. These forms are:

TASK	CHECKLIST -		for Police Executives for Patrol Line Officer/Supervisor
п	11		for Detective/Investigative Services Supervisor
11	11		
11	11	1	for Police Legal Advisor
11	11		for Police Planner
"		" 1	for Evidence Technician
KNOWL	1 11 1 11	for Pol- for Pol- for Pol-	ice Executives ice Line Personnel ice Legal Advisor ice Planner
•		tor Evid	dence Technician

GUIDELINES FOR COMPLETION OF TASK CHECKLIST INSTRUMENTS

Task checklist data are to be collected from <u>JOB INCUMBENTS</u> who have 1-3 years experience in the occupation or job type specified. Instructions are provided with each form and should be self-explanatory. Minimum effort should be required in administering the forms. Following is a listing of the forms, specific job types within each occupational category for which data are required, and the number of job incumbents that we would like to have complete the forms:

TASK CHECKLIST-INCUMBENT FORM	JOB TYPE OF INCUMBENT TO COMPLETE THE FORM	NUMBER OF INCUMBENTS OF EACH JOB TYPE
• for Police Executives	Chief of Police Top level executive, e.g. Asst. Chief of	7
	Police Mid-level management	1
	- Patrol	2
	- Criminal Investigation	is 2

page 2 TASK CHECKLIST-INCUMBENT FORM	JOB TYPE OF INCUMBENT TO COMPLETE THE FORM	NUMBER OF INCUMBENTS OF EACH JOB TYPE
• for Patrol Line Officer/ Supervisor	Patrol Line Supervisor - Patrol - Traffic - Special Operations	2 - 6 2 2
	Patrol Officer - Patrol - Traffic - Special Operations	2 - 6 2 2
• for Detective/Investigative Services Supervisor	Investigative Svcs.Line Supervisor - Criminal Investigations - Juvenile	2 - 8
	Detective/Criminal Investigator - Criminal Investigations - Juvenile	2 - 8 2
• for Police Legal Advisor	Legal Advisor	1
• for Police Planner	Police Planner	2
• for Evidence Technician	Evidence Technician	2

GUIDELINES FOR COMPLETION OF KNOWLEDGE CHECKLISTS

maga 2

Knowledge data are to be collected from <u>JOB EXPERTS</u>. Ideally, a job expert is a person who has had extensive supervisory <u>and line experience</u> in one of the key law enforcement occupations and whose experience includes exposure to as many of the various job types within that occupation as possible, e.g., a patrol line supervisor who has supervisory and line experience in patrol, traffic, and special operations. We recognize, however, that the ideal expert will not exist in some instances. In some cases, it may be necessary to use job incumbents, e.g., top level executives or legal advisor. However, job incumbents should only be utilized if superior personnel who are intimately familiar with the key occupation are not available. In any case, the persons completing these checklists should be experts who know the knowledges required to successfully perform all aspects of the occupation.

Instructions are provided with each form and should be self-explanatory. Minimum effort should be required in administering the forms. Following is a listing of the forms and the number of job experts that we would like to have complete the forms. Job types in which the experience is desired are the same as those listed above for task inventory forms.

page 3

KNOWLEDGE CHECKLIST NUMBER OF JOB EXPERTS TO COMPLETE • for Police Executives - Chief and top executives 2 - Mid-level management of patrol and criminal investigations 2 • for Police Line Personnel - Patrol Line Supervisor 2 - Patrol Officer 2 - Investigative Svcs. Line Supervisor 2 - Detective/Criminal Investigator 2 • for Police Legal Advisor 2 • for Police Planner 2 2 • for Evidence Technician

Attached for your use in selecting appropriate personnel to participate in this phase of the National Manpower Survey are operational definitions for each of the nine key law enforcement occupations being studied.

We would like to have these forms disseminated to the appropriate personnel, collected, and returned to us as soon as practicable. Needless to say, your assistance is sincerely appreciated. Do not hesitate to contact us if you need further information or encounter difficulties.

Attachment - Definitions of key law enforcement occupations

DESCRIPTION OF KEY LAW ENFORCEMENT OCCUPATIONS

1. POLICE CHIEF EXECUTIVE

The police chief executive is the highest level official with direct operating responsibility for a law enforcement agency. This occupational category also includes primary assistants to the top chief executive who have independent responsibility over a major segment of the agency. Duty positions may be identified by the title of chief of police, sheriff, superintendent, colonel, director, commissioner, assistant chief, or deputy chief. As general manager of a police agency or major segment thereof, the chief executive has administrative responsibility for the goals and objectives, policies, and performance of the agency or segment for which he is responsible.

2. POLICE MID-LEVEL MANAGER

Police mid-level managers are those who occupy management positions in the agency which fall between the first line supervisor and the chief executive(s). The position title may be lieutenant, captain, inspector, division chief, bureau commander, director, or other titles which denote positions with non-executive management responsibilities. While it is likely that most of the incuments occupying positions in this category will be sworn personnel, some may be non-sworn, e.g., a civilian director of training or police-community relations. However, a job to be included in this category should be central to the police function; excluded would be managerial jobs in the technical and administrative support area, managerial jobs in the crafts and trades area, and managerial level professional jobs.

3. PATROL LINE SUPERVISOR

Patrol line supervisors are those who are responsible for first line supervision of sworn personnel occupying basic line positions in patrol operations. The position title may be sergeant, corporal, officer-in-charge, team leader, coordinator, or other titles which denote positions with first level supervisory responsibilities over patrol officers.

4. INVESTIGATIVE SERVICES LINE SUPERVISOR

Investigative services line supervisors are those who are responsible for first line supervision of sworn personnel occupying basic line positions in police criminal investigative services. The position title may be sergeant, corporal, officer-in-charge, team leader, coordinator, or other titles which denote positions with first level supervisory responsibilities over detectives or investigators who investigate criminal offenses.

5. PATROL OFFICER

Patrol officers are those sworn personnel deployed on the basis of patrol assignments (motorized, foot, or mounted) who are responsible for the protection of life and property, the prevention and deterrence of criminal activity, apprehension of law violators, supervision and control of traffic, and the provision of day-to-day police services to the citizenry served. The work performed consists primarily of routine patrol tasks and is generally supervised by a first line supervisor.

6. DETECTIVE/CRIMINAL INVESTIGATOR

Detectives/criminal investigators are those sworn personnel concerned with the investigation of criminal offenses and responsible for the clearance of reported crimes by arrest and the preparation of sound cases for the successful prosecution of offenders. For less serious or complex crimes, the detective/criminal investigator usually follows-up preliminary investigations conducted by patrol officers. Individual assignments are often specialized to correspond with categories of criminal offenses, e.g., homicide, burglary, robbery, etc.

7. POLICE LEGAL ADVISOR

Police legal advisors are those attorneys employed on a fulltime basis by law enforcement agencies who provide legal assistance to the agency. Attorneys not classified as agency employees but who provide fulltime legal assistance to agencies are included, e.g., those whose salaries may be paid by grant funds. Also included are attorneys whose fulltime occupation is providing legal assistance to more than one police agency, e.g., regional or metropolitan area police legal services.

8. POLICE PLANNER

Police planners are those agency personnel who are formally involved in the planning process. The position title may be planner, project officer, administrative/management analyst, systems analyst technician, program research technician, or other titles which denote personnel who provide planning and/or research assistance to operational and staff elements of the agency. Examples of work activity are: determines or recommends goals, objectives, and priorities; makes short- and long-range plans for the future; evaluates and recommends revision of policies and procedures; performs in-depth workload and crime analyses; recommends resource allocation systems and methodologies; analyzes statistical data; prepares requests for outside funding; monitors and evaluates modifications; and coordinates agency planning and research activities with other elements of the criminal justice system. Personnel in this category may be sworn or non-sworn.

9. EVIDENCE TECHNICIAN/CRIME SCENE ANALYST

Evidence technicians/crime scene analysts are those specialized agency personnel who are primarily responsible for the location, collection, classification, and preservation of physical evidence at crime scenes and, when appropriate, the transportation of such evidence to a crime laboratory for analysis. Personnel in this category may be sworn or non-sworn and may or may not be assigned to perform this function on a fulltime basis. For example, a law enforcement agency may designate certain patrol officers on each shift as having this responsibility and provide these officers with intensive training. When the need arises, these officers perform the specialized functions outlined above. These personnel would be included in this category. Excluded would be those agency personnel who have not been specially trained and who would not normally be referred to as specialists in this functional area.

Courts

In addition to the agencies selected for the sample, the courts team also visited state headquarters, talking to the state court administrator, the heads of judicial councils, and state supreme court personnel with responsibility for administration. This was done primarily for getting a broad picture of the state's court system. Only the executive interview form was used at these sites plus some general questions aimed at getting a better idea of the state's court system, present and projected future.

The executive interview form was also used in interviewing personnel in several organizations not included in the study, but relevant for enhancing knowledge about the agencies under study. These organizations included state prosecutor's associations, state defender's associations, and a special criminal defense lawyer's project in Texas, a state without a public defender service.

Corrections

Since the positions under study by the corrections team differed significantly in adult and juvenile corrections agencies, and by type of agency-community-based or institution—it was necessary for this team to develop some additional procedures.

Data collection for both juvenile and adult corrections was conducted in two steps. First, headquarters data were obtained at the state department of corrections level, which included getting recommendations for specific correctional agencies to visit within the state. Second, data were collected at the recommended correctional agencies during visits usually made about two weeks after the headquarters visits. Special sub-teams were formed to collect data from state departments of corrections (juvenile, adult, and parole), adult

agencies (jails, state prisons, community-based facilities, and probation/parole field offices), and juvenile agencies (detention centers, training schools, community-based programs, and probation/parole field offices).

The headquarters visits to each state department of adult and juvenile corrections always started by briefing the director or commissioner of corrections on NMS and conducting the executive interview. Our data collection needs were discussed with the director, followed by obtaining names of the appropriate headquarters staff to interview and receiving his permission to collect data in the department.

Over a two to four day period, interviews were scheduled and held with the directors or their designates of the personnel, training, community services and/or work release departments. If needed, special interviews were held with the director of the corrections training academy and their staffs. These interviews generated the bulk of the headquarters-level personnel systems and trend information.

A concomitant activity consisted of obtaining the names of various state administered correctional agencies suitable for collecting occupational data. For adult corrections, one large, maximum security prison, two community-based facilities and/or work-study release programs, and two probation/parole field office sites were generally requested; jail nominations typically were obtained from the SPA. For juvenile corrections, one training school, one detention center, two community-based programs, and two probation/parole field office sites usually were requested.

The data collection schedules to these agencies were set up either by a designated coordinator at the department of corrections or by A.I.R.'s appropriate sub-teams. In either case, data were collected at the agencies over a

three to five day period. Agency personnel and training information, administrator viewpoints, and occupational information from correctional officers, counselor/caseworkers, administrators, and probation/parole officer incumbents were collected at this time. All follow-up activities were the responsibility of the A.I.R. staff member conducting the relevant interviews. This same procedure essentially was replicated in each of the ten sample states.

5. Problem Areas Encountered

A study of the scope and complexity of the NMS must necessarily encounter problems, even with careful planning. Not surprisingly, the most troublesome problems surfaced at the time of field visits when LE/CJ agency personnel with full-time jobs and responsibilities were involved. While all of these problems created certain inefficiencies and tended to diminish the overall quality of the data collected and the analyses performed, they neither were completely unexpected nor prevented any of the major objectives from being achieved.

One serious problem concerned receiving data forms which were left for completion by the agency after the team member had left. Follow-ups were made but we were unable to secure a high return rate of the data forms. The overall effect was a reduction in the total number of occupational analysis data which, of course, detracted from the quality of some of the occupational analyses.

Another problem, essentially unavoidable in field work, was time. Approximately 230 visits were condensed into a period of 18 weeks, with Thanksgiving and Christmas holiday periods included in this time span. Thus, it was sometimes necessary to move from one agency to another without time to verify questionable information or to follow-up on the thoughts and opinions of other knowledgeable persons recommended by interviewees. Another time pressure resulted from the length of the interview. With so much data to be collected it was not always possible to explore interesting but not essential tangents

brought out by the interviewee. With some individuals, judges particularly, interviews were held at 20-30 minute recesses throughout the day when that was the only time the judge felt he could spare from a heavy docket. Knowing that plaintiffs, defendants, and witnesses are waiting in the courtroom is not conducive to interviewing about manpower shortages! Not all judges were routinely interviewed in this fashion as many willingly stayed late to complete interviews.

Still another problem encountered at isolated times was the unavailability of the key person to be interviewed at the scheduled time. Unexpected travel or local emergencies were the usual reasons which, however inconvenient, have to be expected. In a few instances illness precluded obtaining data from key persons as did bad weather which disrupted schedules. At no time, however, did the absence of key persons seriously compromise the quality of the data or the analyses conducted in NMS.

G. SYSTEM FOR DATA ANALYSIS

1. Quantitative Analysis

The Task Checklist and Knowledge Checklist forms had been completed by a large number of personnel, so a computer program was prepared for their analysis. This program yielded distributions, means, standard deviations, and medians for all response positions. Since the number of cases in a single response cell was often quite small it was decided to use the median, or middle response (50th percentile), in reporting the data. The median, as a statistic is less subject to extreme responses, especially with small samples.

The Task Checklist medians permitted analysis of the relative importance of tasks, the time spent on them, and the way the tasks were learned.

The Knowledge Checklist medians permitted an evaluation of the level of proficiency in knowledges or skills required for capable job performance and the level normally brought to the job by newly hired personnel.

Since it would have been unreasonable to expect incumbents who completed these forms to match the knowledges with the separate tasks, the matching was done by the A.I.R. teams and then reviewed by consultant experts. The consultants were also asked about probable changes (increase, decrease, remain the same) in each task over the next five years.

a. <u>Courts Procedures</u>. The courts consultants performed the task essentially as described above. Because the judge, prosecutor, and defender positions vary so little from one jurisdiction to another, and many of the knowledges are based on legal training, the matching task was easier than for other positions.

Since so few court administrators were included in the study, the consultants for that position also performed some of the work normally done during the field visits. The consultants reviewed the complete set of FJA task statements, suggesting changes and adding knowledges or skills where necessary.

b. <u>Corrections Procedures</u>. The corrections team had to use slightly different procedures in working with the consultants, particularly because of significant differences between adult and juvenile corrections systems. The task statements and knowledge checklists were originally developed for adult corrections positions. The juvenile corrections system was added later, but the same forms were used. The consultants were given the additional task of editing, adding, and eliminating task statements and knowledges, as well as matching the tasks—new and old—with the knowledges.

The consultants also rated the level of knowledge required, since in many cases, the number of incumbent responses was very small. Also, the prohibitive length of the original knowledge checklist led to elimination of about 20 knowledges. Since no incumbent ratings were available, consultant responses are the only source of data on these 20 knowledges.

Some special procedures were followed in analyzing the corrections key occupational data which need to be considered when interpreting the meanings and T&E implications of the findings. As noted in the Occupational Analysis (section D of Chapters IV, V and VI), Task and Knowledge Checklists were developed for each key occupation. The Knowledge Checklists listed varying numbers of skills and knowledges which were rated by incumbents during field visits for the proficiency level required to perform their job. These ratings were statistically summarized to provide an index of the knowledge/skills required for job performance. When the specific knowledges and skills were then related to specific tasks to form a Task-Knowledge Matrix for each key occupation, the proficiency ratings formed the cell entries. Occupational conferences were held where two experts in each key occupation reviewed the proficiency ratings and made changes as deemed appropriate. The outcomes were the validated Task-Knowledge Matrices presented in Volume VIII chapters on corrections.

There are more knowledges and skills in the Task-Knowledge Matrices than there are in the Knowledge Checklists. This means that some of the providiency ratings were based on job incumbent responses and expert reviews and some on the consensus of two experts only. The reason for this was that the limited amount of time available for field visits necessitated including only some of the knowledges and skills in the Knowledge Checklist. Consequently, only these were rated by job incumbents. The remaining proficiency ratings were based solely on the two job experts, the rationale being that it is

better to get proficiency ratings, even though preliminary, on the entire range of job knowledge/skills than to ignore a significant proportion as if they did not exist.

The following indicates the specific skills/knowledges listed in the task-knowledge matrices presented in Volume VIII. They are divided into two categories: those having proficiency ratings based on incumbent responses and experts' reviews, and those having proficiency ratings based on experts' reviews only.

		Specific Know	ledge/Skill
Key Occupation	Knowledge Category	Incumbent + Experts	Experts Only
Adult Institution	A	1-8	9-18
Correctional Officer	В	1-5	
	С	1-7	8
	D	1-4	5-7
	E	1-7	8
	F	1-5	6-10
	G		1-6
	н		1-7
	I		1
	J	·	1-3
Adult Institution	A	1-8	9–10
Counselor	В	1-8	
	С	1-13	14-20
	D	1-7; 9-10	8.
	E	1-10	11-15
	F	1-6	7–10
Adult Community-based	A	1-8	
Counselor	В	1-8	
	C	1-13	14-19
	D	1-9	
	Ē	1-10	11–14
	F	1-6	7–10

		Specific Knowl	edge/Skill
Key Occupation	Knowledge Category	Incumbents + Experts	Experts Only
Adult Community-based	A	17	
Administrator	В	1-6	
	С	1–6	
	D	1-3	
	E	1-2	ı
	F	1-5	
	G	1-8	
	Н	1-3	
Adult Probation/	A	1-8	9–10
Parole Officer	В	1-8	
	С	1-14	15-20
	D	1–10	
	E	1–10	11-15
	F	1-6	7–10
Juvenile Houseparent	A	1-7	8-15
(Youth Service Worker)	В	1-5	
WOLKELY	С	1-5	6
	D	1-4	5-7
	E	2-5	1, 6
	F	1-5	6-10
	G		1-4
	Н		1-6
	I	•	1 .
	J		1-2
Juvenile Institution	A	1-8	9–10
Counselor	В	1-8	
	С	1-14	15-20
	D	1-10	
	E	1-10	11-16
	F	1-6	7–10

		Specific Know	Ledge/Skill
Key Occupation	Knowledge Category	Incumbent + Experts	Experts Only
Juvenile Community-	A	1-7	8
based Counselor	В	1-8	
	С	1, 3-11	2, 12-16
	D	Inedge gory Incumbent + Experts Experts A 1-7 8 B 1-8 2, 12-16 C 1, 3-11 2, 12-16 D 1-10 11-14 F 1-6 7-10 A 1-7 1-6 C 1-6 1-5 E 1-2 1-5 G 1-8 1-3 A 1-8 9-10	
	E	1-10	11-14
	F	1-6	7–10
Juvenile Community-	A	1-7	
based Administrator	В	1-6	
	С	1-6	
	D	1-5	
	E	1-2	
	F	1-5	
	G	1-8	
	Н	1-3	
Juvenile Probation/	A	1-8	9–10
Parole Officer	В	1-8	
	C 1-14 15-2		15-20
	D	1-10	
	E	1-10	11–15
	F	1-6	7–10

c. <u>Law Enforcement Procedures</u>. The law enforcement procedures during the conferences with experts were somewhat more complicated, primarily because tasks had been combined and now needed to be broken out, and because single forms of the task and knowledge checklists had been used for more than one position. The procedures used in law enforcement are described below.

A final, occupational analysis conference was conducted for each key occupation. The conferees included an NMS staff member, an outside occupational research consultant, and an occupational subject matter expert

authoritative in the law enforcement field. Two of the objectives of the conference were to obtain from the outside conferees their review and advice on the task and knowledge profiles for the current status of the occupation and to obtain projections of the profiles five years from now. The current task and knowledge profiles consisted of summary data on the field sample responses to the checklists.

With regard to the current task profile for an occupation, conferees were asked whether checklist tasks, if any, which had failed to meet an empirical criterion for retention in final, composite profile could be excluded. The criterion involved combinations of the percentage of the sample of respondents who checked that they performed the task and the amount of time spent on it. The decision rule using this criterion was as follows:

For the row below which applies for a given task, reject it (R) unless there is a K (keep) in that row which also applies.

	Perce	ntage of	Sample Chec	king Tim	e Spent A	Mounts
Percentage of Sample	Very	Small		rate	Consi	iderable
Doing Task	<u>></u> 50%	<u><</u> 50%	<u>></u> 50%	<u><</u> 50%	<u>></u> 50%	<u><</u> 50%
<u>≥</u> 50%	K	K	K	K	K	K
25% - 49%	R	R	K	R	K	R
0 - 24%	R	R	R	R	K	R

Conferees were also asked to review any task descriptions which respondents had written in as additional items on the space provided in the Task Checklist. Write-in tasks judged to represent omissions in the checklist and necessary as part of a final, composite profile were written in checklist task terminology and included in the profile.

With regard to the Knowledge Checklist data, since there probably is a tendency for checklists of this kind to produce overestimates of knowledge/skill

requirements, an attempt was made to cross-verify the relative levels (median scale values) of the requirements against the knowledges and skills independently identified through the FJA procedure. For most of the key occupations, a four-quadrant matrix was developed which identifies the particular knowledge/skill items which both the checklist and FJA procedures agree or disagree should be emphasized as job requirements or de-emphasized or rejected. Conferees were asked to make final decisions on the status of the items, paying particular attention to items within two of the quadrants.

A third objective was to obtain the assistance of the conferees in identifying for each knowledge and skill requirement, one or more task markers so that a task marker/knowledge/skill matrix for each occupation could be produced. It will be recalled that field sample respondents rated the knowledge checklist items in terms of job requirements, not individual task requirements. While the FJA approach had generated, by trained analysts and subsequent expert reviewers, specific knowledge/skill requirements for each FJA task specification, it was decided to use this approach only as a source of verification of the checklist data and of information on task difficulty, best way to learn task, and essentiality of college courses (the FJA field review procedure was very limited in that there were no reviewers available for some FJA tasks, and very few reviewers available for some of the other tasks).

A task marker is a task judged, during the final occupational analysis conference, to be a task which clearly requires a given knowledge/skill and to a degree greater or no less than any other knowledge/skill. A given knowledge/skill can thus have one or more task markers if the former is required to an equal degree by the different tasks. A given knowledge/skill can, of course, also be related to other tasks, but at levels lower than the marker tasks.

Occasionally, a given knowledge/skill may be judged job pervasive; that is,

the requirement appears to pervade throughout the job in a large number of tasks, and no one task can be singled out as a prominent marker.

The results of the quantitative analyses are described in Section D of Chapters III-IX.

2. Qualitative Analysis

The interview forms were not subjected to any computer analysis because the number of them was small and many of the questions were open-ended. Each team tallied the responses and reported the findings in separate chapters of this report relating to specific LE/CJ sectors.

The qualitative findings reflect factual and opinion data, as well as tentative conclusions and projections for the future.

3. Data File

A data file containing the analysis of Task Checklist and Knowledge
Checklist data for key occupations was developed. This data file was subsequently turned over to the prime contractor for documentation.

A NATIONWIDE SURVEY OF
LAW ENFORCEMENT CRIMINAL JUSTICE
PERSONNEL NEEDS AND RESOURCES

VOLUME VIII - ATTACHMENT A

FIELD ANALYSIS OF OCCUPATIONAL REQUIREMENTS
AND PERSONNEL MANAGEMENT
IN CRIMINAL JUSTICE AGENCIES

FINAL REPORT

Prepared for
Department of Justice
Law Enforcement Assistance Administration

by
National Planning Association,
American Institutes for Research,
and
Bureau of Social Science Research
Washington, D.C.

Under Contract No. J-LEAA-035-74

September 30, 1976



A NATIONWIDE SURVEY OF LAW ENFORCEMENT CRIMINAL JUSTICE PERSONNEL NEEDS AND RESOURCES NCJRS

SEP 2 1 1977

ACQUISITIONS

VOLUME VIII - ATTACHMENT A

FIELD ANALYSIS OF OCCUPATIONAL REQUIREMENTS
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IN CRIMINAL JUSTICE AGENCIES

FINAL REPORT

Prepared for
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by National Planning Association 1666 Connecticut Avenue, N.W.

American Institutes for Research 1055 Thomas Jefferson St., N.W.

Bureau of Social Science Research 1990 M Street, N.W.

Washington, D.C.

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LAW ENFORCEMENT DATA COLLECTION INSTRUMENTS

Police Executive (Chief Executive or Mid-Level Manager)

OMB# 043-S75042 Exp. 7/31/76 LEAA (3600-L)

AIR Task Checklist LAW ENFORCEMENT

Please fill in the identification information requested below. The information will be used for research purposes only and will not become a part of any personnel or official file.

9. How many years have you worked for this agency: 10. In all, how many years have you worked in the law enforcement area: 11. Please circle the number indicating your current level of formal education Less than high school diploma		
2. Agency address: 3. What is your position or job title: 4. What is your age: (15-16) 6. Sex: Male ()1 Female ()2 7. What is your Race: Black ()1 White ()2 Other ()3 8. How long have you worked in your current duty assignment: 9. How many years have you worked for this agency: 10. In all, how many years have you worked in the law enforcement area: 11. Please circle the number indicating your current level of formal education Less than high school diploma	1.	Agency for which you work:
3. What is your position or job title: 4. What is your age:		Bureau/Division or Unit:
3. What is your position or job title: 4. What is your age:	2.	Agency address:
5. What is your age:	3.	
7. What is your Race: Black ()1 White ()2 Other ()3 8. How long have you worked in your current duty assignment: Yrs. Months 9. How many years have you worked for this agency: 10. In all, how many years have you worked in the law enforcement area: 11. Please circle the number indicating your current level of formal education Less than high school diploma	4.	What is your current duty assignment:
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10. In all, how many years have you worked in the law enforcement area: 11. Please circle the number indicating your current level of formal education Less than high school diploma	8.	How long have you worked in your current duty assignment: Yrs. Months
11. Please circle the number indicating your current level of formal education Less than high school diploma	9.	How many years have you worked for this agency:
Less than high school diploma	10.	In all, how many years have you worked in the law enforcement area:
High school graduate	11,	Please circle the number indicating your current level of formal education
1 to 2 years of college		Less than high school diploma
2-year college degree		High school graduate02
3 to 4 years of college		1 to 2 years of college
4-year college degree		2-year college degree04
Some graduate course work		3 to 4 years of college
Master's degree		4-year college degree
Graduate work beyond the master's degree 09 Doctorate,		Some graduate course work
Doctorate, 10		Master's degree
		Graduate work beyond the master's degree 09
		Doctorate,10
		LL.B. or J.D

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- Step 4. Then, complete column 3, 4, or 5 to show where you learned the knowledge or skill.

Formal training

= classroom (non college) workshops, special courses, entry level or in-service training programs

College courses

= courses taken at college or law school either for a degree or to acquire special knowledge

Informal job learning = working on the job

If you acquired the knowledge or skill in more than one way, put a 1 in the box that indicates the most valuable source, and a 2 in the box that indicates the less valuable source. If you learned the knowledge or skill from all three sources, put a 3 in the box that indicates the least valuable source.

Step 5. Column 6 is used to indicate whether you think you received a proper amount of training to do your job. For each knowledge or skill you check in column 1, place an (X) in one box in column 6 to indicate:

Too little

= not given any/enough training; not enough detail; too narrow in scope, etc.

About right

= suited to job tasks; enough depth; provided necessary information, etc.

Too much

= overtrained for level needed; too much detail; etc.

We appreciate your cooperation in this phase of the study. It should be very helpful to LEAA in planning support for future training and educational programs.

Scale for Amount of Time Spent on Task:

B A moderate amount of time

Job Title: POLICE EXECUTIVE (including Chief Executive, Mid-Level Manager)

A considerable amount of time

VSF.	STATEMENTS		(+) Don't	Amount of time spent	(rar	nere learn ik order l	,2,3)	Traini	ount of (ng/Educa	tion	\perp
			()	on Task (see scale above)	Formal Training	College Course		Too Little	About Right	Too Much	
1.	Formulates clearly defined departmental goals, objectives, policies, and procedures considering laws and wishes of the community(29)	ļ									_
2.	Considers a wide variety of alternatives and plans department and major project operations so activities will be effective and efficient. (35)	ļ			}					· ·	
3.	Organizes and staffs department or unit to gain optimal benefit from budgeted funds, and available resources. (41)	.								<u> </u>	-
4.	Negotiates with representatives of employee organizations in collective bargaining, and discusses grievance with employees and their representatives. (47)	ļ									 -
5.	Evaluates departmental operations and subordinates and modifies plans and policies to increase effectiveness. (53)	<u> </u>									1
6.	Receives, reviews, revises, approves and forwards daily, periodic and summary reports concerning activities of the department, bureau, division, or unit to assist in evaluating individual, group and unit performance. (59)		1								
7.	Reviews, revises, and approves budget request considering needs of department and community and participates in its presentation to the approving authority. (65)										_
8.	Reviews, approves, and makes recommendations concerning commendations, disciplinary actions, assignments, promotions or other personnel actions										-
9.	Responds to scene of major occurrences, provides advice and assumes leadership of situation as needed. (77)	<u> </u>									
0.	Conceives, plans and recommends innovative methods for preventing or coping with major crimes or other protective service problems of the community(17)		****								
1.	Formulates and directs preparation of applications for federal or other grants(23)	<u> </u>								<u> </u>	_
2.	Gathers, dispenses and exchanges technical information by personal contact, correspondence, (29) and conference with subordinates, community leaders, specialists, outside agencies and peers.										
3.	Meets with representatives of the news media in order to provide information relevant to current activities. (35)	<u> </u>									
4.	Responds to calls or correspondence from local citizens or government officials in order to facilitate public understanding of the department and its role in the community. (41)	 									
	Testifies and speaks as agency representative at judicial proceedings, committee hearings, conferences and public gatherings		. 							-	_
6.	Recieves and imparts training in law enforcement and related disciplines. (53)	<u></u>			ļ	ļ					_
7.	Coordinates activities of police with government and community agencies in common or overlapping activities	_									
8.	Prepares written directives and standard operating procedures for sensitive or major impact operations(65)							1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1			

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CONTINUED

12 OF 19

Job Title: POLICE EXECUTIVE

Scale for Amount of Time Spent on Task:

A = A very small amount of time

B = A moderate amount of time

C = A considerable amount of time

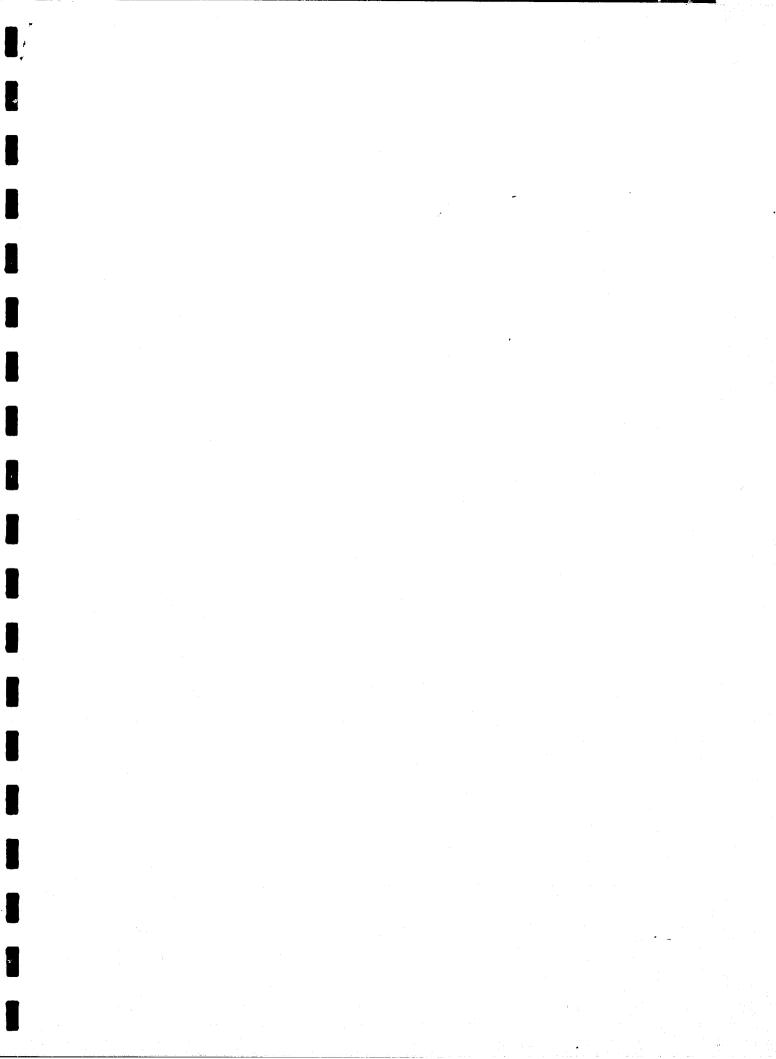
Where learned Amount of (X)
Training/Education Amount of Do (+) (rank order 1.2.3) time spent TASK STATEMENTS or Don't on Task (see Formal | College | On the Too About Too Do (-) scale above) Training Course Job Little Right Much 19. Receives and analyzes departmental crime and workload statistics and other indices of police effectiveness. (76)20. Conducts studies of and prepares position papers about phases of police department operations which are ineffective, inefficient or under criticism. (16)21. Receives, investigates, reports and takes action on complaints concerning subordinates or departmental operations. (17)(22)22. Monitors and spot checks operations and modifies procedures to correct deficiencies. (23)(28)23. Enforces the law situationally, exercising discretion as to the most effective means of controlling or preventing the situation or resolving the problems. (29)(34)24. Discusses and confers with investigators on special or sensitive criminal cases in order to(35) direct and coordinate field investigations and provide general overall quidance and direction. (40)25. IF YOU PERFORM ADDITIONAL TASKS NOT DESCRIBED ABOVE, PLEASE DESCRIBE THEM ON THE BACK OF THIS FORM.

OMB# 043-S75042 Exp. 7/31/76 EAA (3600-M)

AIR Task Checklist LAW ENFORCEMENT

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2.	Agency address:
3.	What is your position or job title:
4.	What is your current duty assignment:
5.	What is your age:(15-16) 6. Sex: Male ()1
7.	What is your Race: Black () 1 White ()2 Other ()3
8.	How long have you worked in your current duty assignment: Yrs. Months
9.	How many years have you worked for this agency:
10.	In all, how many years have you worked in the law enforcement area:
11,	Please circle the number indicating your current level of formal education
	Less than high school diploma
	High school graduate02
	1 to 2 years of college
	2-year college degree
	3 to 4 years of college
	4-year college degree
	Some graduate course work
	Master's degree
	Graduate work beyond the master's degree 09
	Doctorate,
	LL.B. or J.D 11



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- Step 4. Then, complete column 3, 4, or 5 to show where you learned the knowledge or skill.

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Too little = not given any/enough training; not enough detail; too narrow in scope, etc.

About right = suited to job tasks; enough depth; provided necessary information, etc.

Too much = overtrained for level needed; too much detail; etc.

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OMB# 043-S75042 Exp. 7/31/76 LEAA (3600-M)

TASK CHECKLIST

Job Title: Detective/Criminal Investigator/
Investigative Services Line Supervisor

Scale for Amount of Time Spent on Task:

A = A very small amount of time

B = A moderate amount of time

	Investigative Services Line	Supe	rvisor								r	\
	·		Do (+)	Amount of time spent	(ran	nere learn ik order l	.2,3)	Traini	ount of () ng/Educa			
TASK	STATEMENTS		or Don't Do (-)	on Task (see scale above)	Formal	College	On-Job	Too.	About			D :
			30 ()	scale above/	rranning	Course	i i a in ing	Little	rigit	WIGCII		
1.	Interviews complainants, witnesses and victims of crime to gain information on current or unresolved cases.	(29)									(34)	80
2.	Examines and evaluates information from interviews and observations.	(35)		. "							(40)	00
3.	Reads, reviews and evaluates crime investigation report and related material on cases	(41)				:		ļ <u>-</u> -			(46)	U :
4.	Responds to calls for service or help and takes action to alleviate or control reported situation.	(47)									(52)	C
5.	Enters and conducts search of premises specified in warrant or following "hot pursuit" of suspect or fugitive.	(53)									(58)	٥
6.	Receives, inventories, stores, issues, accounts for and disposes of physical evidence of c	rime.									(64)	100
7.	Establishes and carries out surveillance of persons and things.	(65)								<u> </u>	(70)	80
8.	Plans for and interrogates suspects	(71)								··· •·· •	(76)	: استشن
9.	Supervises or conducts "line-up" when warranted.	(77)						<u> </u>		-	(16)	0
10.	Studies and evaluates available information on suspects.	(17)	<u> </u>					ļ	-		(22)	3.7.3
11.	Searches for, identifies and recovers lost or stolen property.	(23)									(28)	1/-
12.	Enforces law situationally, exercising judgement and discretion as to most effective means for controlling or resolving problems.	(29)									(34)	4
⋅13.	Assists people with problems or refers them to public service agencies.	(35)									(40)	3
14.	Establishes and updates general intelligence and information files on known offenders and criminal activity.	(41)									(46)	ا ک
15.	Pursues fleeing suspects or fugitives by vehicle or on foot	(47)									(52)	8
16.	Arrests, searches and secures suspects and fugitives	(53)			<u> </u>		ļ	ļ			(58)	45
17.	Informs arrested persons and suspects of legal rights	(59)			ļ			ļ			(64)	
18.	Uses physical force and protective equipment such as revolver, baton, handcuffs, shot gun and tear gas when necessary to subdue resistance, prevent escape or protect self or public	(65)									(78)	10
19.	Discusses charge and circumstances of arrest with arresting officer to ensure they are in accord with law and department policy.	(71)									(76)	§
20.	Evaluates circumstances and releases arrested person on a citation rather than taking into custody when warranted.	(77)									(16)	5
21.	Conceives, plans and recommends improvements, innovations and changes in department polici objectives, and procedures for coping with crime or providing public service.	es , (17)							,		(22)	St. mon
										•		杨

Job Title: Detective/Criminal Investigator/

Investigative Services Line Supervisor

Scale for Amount of Time Spent on Task:

A = A very small amount of tim

B - A moderate amount of time

TAS	K STATEMENTS		Do (+) or Don't	Amount of time spent on Task (see	(ra	here learr nk order l	1,2,3)	Traini	nount of(ng/Educa About	tion	1
		_	Do (-)	scale above)					Right		
22.	Responds to scene of major occurrences, provides advice and assumes leadership of situation as needed	23)									(
23.	Photographs locations, individuals, and crime and accident scenes	29)		,] (
24.	Diagrams or sketches locations, individuals, and crime and accident scenes	35)								<u> </u>	(
25.	Makes castings of foot and tire prints, tool marks and other impressions at crime scene	41)	·		ļ						10
26.	Searches for, collects, labels and packages physical evidence found at crime and accident sce				<u> </u>						1
27.		47) 53)]
28.	Recruits informants on criminal activity and solicits information from them.	59)][
29.	rts periodic and daily activities verbally and in writing to supervisor(65)			<u> </u>						1
30.	Participates in staff meetings, briefings, professional meetings, conferences and coordinatio meetings.	n 71)									
31.		77)									1
2.	Provides official information to news media and government agencies. (17)		ļ						ļ	
3.	Prepares individual case folders	23)									
4.	Prepares and submits requests, and supporting affadavits and documents for arrest and search warrants	29)									
5.	Records field actions and observations and transposes information into formal report of crimes, accidents or other activities and action taken.	35)									
6.	Receives, reviews, revises and forwards reports and files on daily activities, crime, accidents, and other incidents(41)									
7.	Prepares formal charges on suspects	47)								V	
8.	Prepares, reviews, approves and forwards summary and statistical reports on crime and police activity(53)									
9.	Directs arrangements for police participation in trials, conferences and hearings.	59)					,,			ļ	
0.	Coordinates crime strike force, major investigations, or other multi-jurisdictional police activity	65)									
1.	Assigns detectives and related personnel to duty	71)	· · · · · · · · · · · · · · · · · · ·			ļ					
2.	Monitors, supervises and plans and schedules investigative operations and personnel.	77)			<u> </u>						
13.		17)									
ı.Ar	Prepare witnesses for testifying in court	23)									

Job Title: <u>Detective/Criminal Investigator/</u>
Investigative Services Line Supervisor

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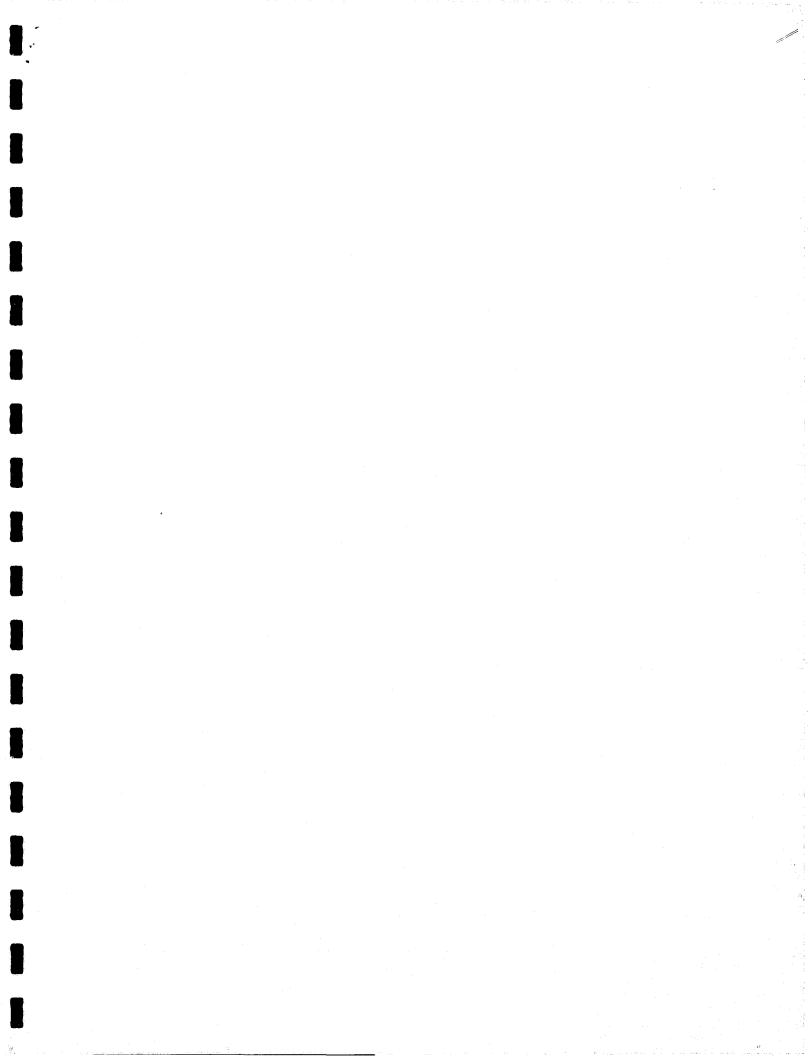
Ť.4.4	A STATEMENTS	nħä. A	Do (+)	Amount of time spent	(rai	here learn nk order l	,2,3)	, Am Traini	ount of (X) ition	
I AS	K STATEMENTS		or Don't Do (-)	on Task (see scale above)	Formal Training	College Course	On-Job Training	Too	About Right	Too	
4 5.	Performs personnel and administrative actions such as hearing grievances, evaluating job performance, taking disciplinary action, recommending awards, approving promotions and counseling subordinate personnel.	(29)									
46.	Teaches law enforcement and investigative techniques in formal classes.	(35)									
47.	Responds to local citizen and government groups to promote understanding of the crime proble advise on citizen responsibility and assist in deterring criminal activity.	em, (41)									
48.	Talks with juveniles and families of juveniles to build respect for law and order, advise on acceptable behavior and reduce crime and unacceptable activity.	n (47)									
49.	Testifies at judicial proceedings.	(53)									$\ $
50.	IF YOU PERFORM ADDITIONAL TASKS NOT DESCRIBED ABOVE, PLEASE DESCRIBE THEM ON THE BACK OF THIS FORM.										
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OMB# 043-S75042 xp. 7/31/76 EAA (3600-M)

AIR Task Checklist LAW ENFORCEMENT

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	1 to 2 years of college
	2-year college degree
	3 o 4 years of college
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TASK CHECKLIST

Job Title: Patrol Line Officer/Patrol Line Supervisor

Scale Amount of Time Spent on Task:

A * A very sman amount of time

B = A moderate amount of time

ŤA C'	STATEMENTS	Do (+)	Amount of time spant	(rag	here learn nk order l	,2,3)	Traini	nount of (
	CIATEMENTO	or Don't Do (-)	on Task (see scale above)	Formal Training	College Course	On the Job	Too Little	About Right	
1.	Familiarizes self with assigned patrol area and its citizens, businesses and crime problems, and identifies potential trouble spots. (29)								
2.	Drives vehicle or walks in assigned patrol area and watches for unusual or suspicious events and irregularities								
3.	Responds to calls for service or help and takes action to alleviate or control situation. (41)		ļ				ļ		ļ
4.	Interviews suspects, complainants, witnesses and victims of crime to gain information on current or unresolved cases. (47)								
5.	Enters and conducts proper search of premise specified in warrant or following "hot pursuit" of suspect or fugitive								
6.	Establishes and carries out surveillance of persons and things. (59)								
7.	Directs traffic at intersections, accidents or points of congestion and issues traffic citations or warning notices to motorists and pedestrians. (65)								
8.	Administers emergency first aid to injured or ailing persons. (71)								
9.	Observes speech, odor and movements of stopped motorist or pedestrian to determine degree of drug or alcohol intoxification. (77)								
0.	Searches for, identifies and recovers lost or stolen property. (17)	<u> </u>		<u> </u>					
1.	Assists people with problems or refers them to public service agencies. (23)		<u> </u>	<u> </u>					-
2.	Enforces law situationally exercising judgement and discretion as to the most effective means for controlling or resolving problems. (29)								
3.	Pursues fleeing suspects or fugitives by vehicle or on foot. (35)							<u> </u>	
4.	Arrests, searches, and secures suspects and fugitives. (41)	:						ļ	<u> </u>
5.	Uses physical force and protective equipment such as revolver, baton, handcuffs, shot gun and tear gas when necessary to subdue resistance, prevent escape or protect self or public. (47)								
6.	Informs an arrested person of charges and his legal rights. (53)		<u> </u>		ļ		ļ		-
7.	Participates in booking an arrested person. (59)		 	ļ				 	ļ
8.	Discusses charge and circumstances of arrest with arresting officer to ensure they are in accord with law and department policy								
9.	Evaluates circumstances and releases arrested person on a citation rather than taking into custody when warranted. (71)								
0.	Conceives, plans and recommends improvements, innovations and changes in department policies objectives, and procedures for coping with crime or providing public service.								
1.	Responds to scene of major occurrences, provides advice and assumes leadership of situation as needed. (17)								

Job Title: Patrol Line Officer/Patrol Line Supervisor

Scale for Amount of Time Spent on Task:

A = A very small amount of time

B = A moderate amount of time

***************************************		Do (+) Amount of time spent		here leerr nk order l			ount of (
TASK STATEMENTS		or Don't Do (+)	on Task (see scale above)			Too Little	About Right	Too Much
22. Photographs locations, individuals, and crime and accident scenes.	(23)							
23. Diagrams or sketches locations, individuals, and crime and accident scenes.	(29)							:
24. Makes castings of foot and tire prints, tool marks and other impressions at crime sce	ne. (35)							:
 Searches for, collects, labels and packages physical evidence found at crime and acciscenes. 	dent (41)							
26. Recruits informants on criminal activity and solicits information from them	(47)			ı				
27. Acquires and updates information on crime and other police matters by reading station and reports, exchanging information with fellow officers and other knowledgeable pers chatting with citizens, and soliciting guidance from superiors.					,			
28. Reports periodic and daily activities verbally and in writing to supervisor	(59)							
29. Participates in staff meetings and conferences	(65)							
30. Operates voice radio equipment to receive and give information	(71)		:					
31. Provides official information to news media and other government agencies	(77)			 Ç.				
 Attends conferences, seminars, briefings and professional meetings to gather and exch information. 	ange (17)							
 Records field actions and observations in notebook and transposes information into fo report of crimes, accidents or other activities and action taken. 	rmal (23)							·
 Receives, reviews, revises and forwards reports and files on daily activities, crime, accidents, and other incidents. 	(29)							
 Prepares, reviews, approves and forwards summary and statistical reports on crime and activity. 	police (35)							
36. Inspects police personnel and equipment for conformance to regulations	(41)							:
37. Assigns police and related personnel to duty	(47)							
38. Monitors, supervises and schedules police operations and personnel	(53)							
 Receives, investigates reports and takes action on complaints against police personne unit operations. 	1 or (59)							: .
10. Plans, organizes and staffs unit operations utilizing available resources	(65)							
41. Performs personnel and administrative actions such as hearing grievances, evaluating performance, taking disciplinary action, recommending awards, approving promotions, a directives, and counseling subordinate personnel.	job pproving (71)							•
42. Receives and imparts training in law enforcement.	(77)							
					1			

Job Title: Patrol Line Officer/Patrol Line Supervisor

Scale for Amount of Time Spent on Task:

A = A very small amount of time

B = A moderate amount of time

TA.	W STATEMENTS	Do (+) Amount of Where learned Amount of (rank order I,2,3) Training/Educa				X) tion	ľ			
IAS	K STATEMENTS	or Don't Do (-)	on Task (see scale above)	Formal	College	On-Job	Too	About Right	Too Much	
43.										
4.4	department, advise on citizen responsibilities, and deter crime and criminal activity. (17)		<u> </u>							(22
1.	Testifies at judicial proceedings. (23)		1							(28
45.	Talks with juveniles and families of juveniles to build respect for law and order, advise on acceptable behavior and reduce crime and activity. (29)									(34)
46.	Guards suspects, prisoners and other detained persons to prevent escape or injury. (35)							-		(40)
47.	IF YOU PERFORM ADDITIONAL TASKS NOT DESCRIBED ABOVE, PLEASE DESCRIBE THEM ON THE BACK OF THIS FORM.									
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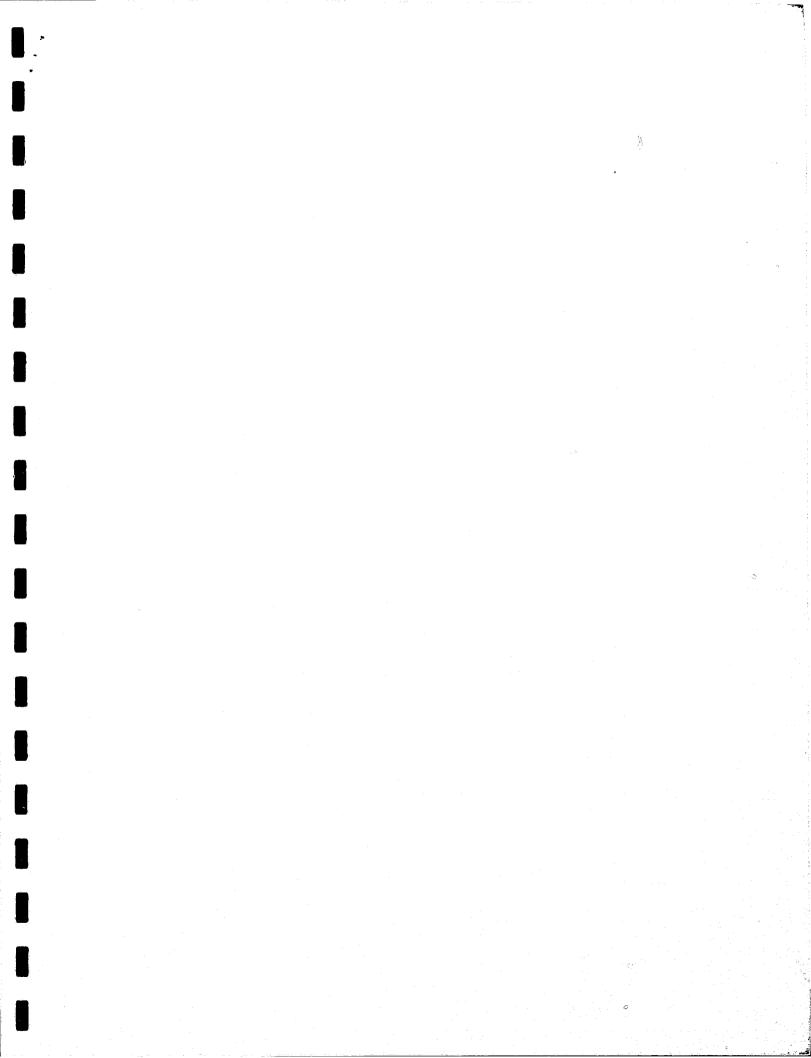
OMB# 043-S75042 Exp. 7/31/76 LEAA (3600-K)

AIR Task Checklist

LAW ENFORCEMENT

Please fill in the identification information requested below. The information will be used for research purposes only and will not become a part of any personnel or official file.

1.	Agency for which you work:
	Bureau/Division or Unit:
2.	Agency address:
3.	What is your position or job title:
4.	What is your current duty assignment:
5.	What is your age:(15-16) 6, Sex: Male ()! Female ()2
7.	What is your Race: Black () 1 White () 2 Other ()3
8.	How long have you worked in your current duty assignment: Yrs. Months
9.	How many years have you worked for this agency:
10.	In all, how many years have you worked in the law enforcement area:
11,	Please circle the number indicating your current level of formal education
	Less than high school diploma01
	High school graduate02
	1 to 2 years of college
	2-year college degree
и	3 to 4 years of college
	4-year college degree
	Some graduate course work
	Master's degree
	Graduate work beyond the master's degree 09
	Doctorate, 10
	LL.B. or J.D 11
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TASK CHECKLIST

Introduction and Instructions

Your agency is cooperating with AIR in a survey of law enforcement occupations for the Law Enforcement Assistance Administration.

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- Step 4. Then, complete column 3, 4, or 5 to show where you learned the knowledge or skill.

Formal training = classroom (non college) workshops, special courses, entry level or in-service training programs

College courses = courses taken at college or law school either for a degree or to acquire special knowledge

Informal job learning = working on the job

If you acquired the knowledge or skill in more than one way, put a l in the box that indicates the most valuable source, and a 2 in the box that indicates the less valuable source. If you learned the knowledge or skill from all three sources, put a 3 in the box that indicates the least valuable source.

Step 5. Column 6 is used to indicate whether you think you received a proper amount of training to do your job. For each knowledge or skill you check in column 1, place an (X) in one box in column 6 to indicate:

Too little = not given any/enough training; not enough detail; too narrow in scope. etc.

About right = suited to job tasks; enough depth; provided necessary information, etc.

Too much = overtrained for level needed; too much detail; etc.

We appreciate your cooperation in this phase of the study. It should be very helpful to LEAA in planning support for future training and educational programs.

CMB# 043-\$75042 Exp. 7/31/76 LEAA (3600-K)

TASK CHECKLIST

Job Title: EVIDENCE TECHNICIAN/CRIME SCENE ANALYST

Scale for Amount of Time Spent on Task:

A = A very small amount of time

B = A moderate amount of time

C = A considerable amount of time

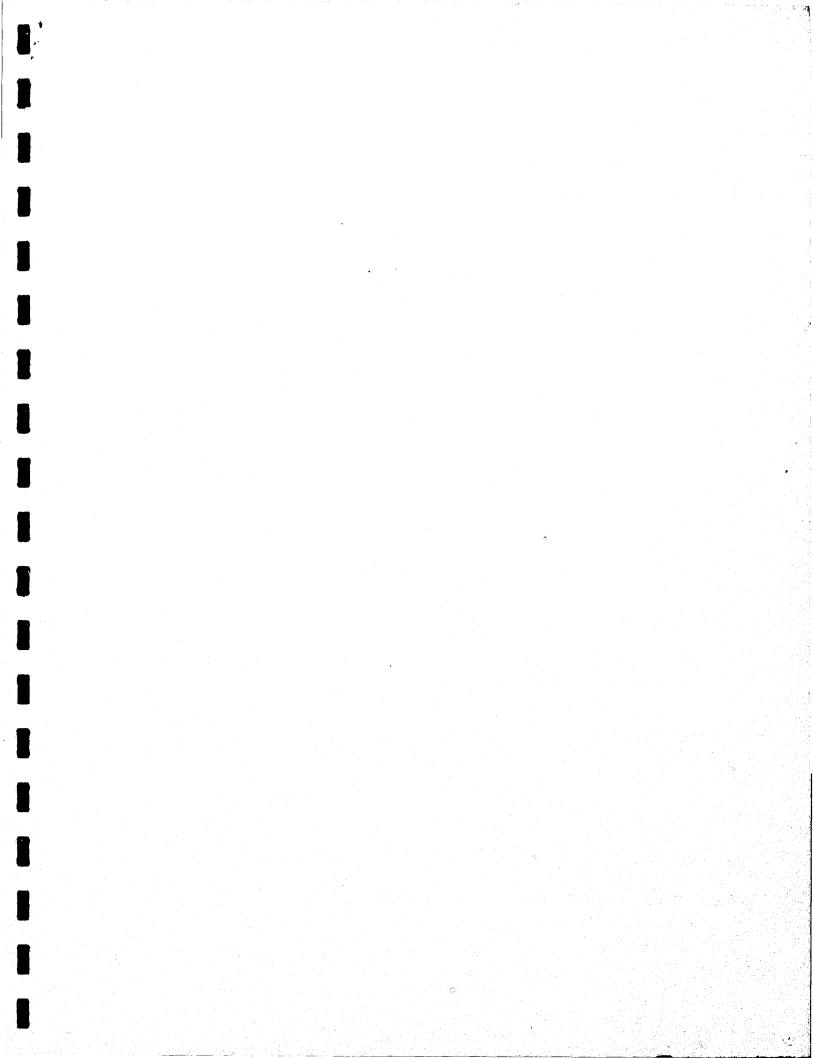
TACH	TEMENTS		Do (+)	Amount of time spent	(rai	here learn nk order l	,2,3)	An Train	X) tion		
IAST	STATEMENTS		or Don't Do (-)	on Task (see scale above)				Too Little	About Right	Too Much	
1.	Examines crime scene and surrounding area prior to collection of evidence, discusses and clarifies known facts of case with officer in charge, and determines most effective search procedure and identification techniques.	(29)								-	(34
2.	Searches for, locates, marks, collects, labels, and packages physical evidence and Tate of fingerprints found at crime scenes.	(35)									(40
3.	Makes castings of footprints, tire prints, tool marks, and other impressions found at crime scenes.	(41)									(46
4.	Photographs crime scene prior to removal of evidence to provide permanent record.	(47)		1	ļ						∭ (52
5.	Photographs individuals and locations under police surveillance.	(53)									(58
6.	Draws scale diagrams of crime scene.	(59)	· · · · · · · · · · · · · · · · · · ·				:				(64
7.	compretes of the scene search report for each of the scene analyzed.	(65)									(71
8.	Inspects and checks availability and serviceability of regular and special police equipment required in the performance of assigned duties.	(71)									(70
9.	Inventories and checks physical evidence received from officers, stores items in evidence room, and maintains evidence/property receipt.	(77)									(1
10.	Develops photographic films, makes prints, and enlarges photos.	(17)	<u> </u>	<u> </u>							∐ (2
11.	Compares fingerprint evidence from crime scene with department fingerprint records of suspects and prior offenders.	(23)									(2
12.	Disposes of evidence, by returning to rightful owner, or destroying it.	(29)		<u> </u>		ļ. 					(3
13.	Operates mobile or portable radio equipment in order to maintain effective communications.	(35)				ļ		<u> </u>			(4
14.	Communicates orally or in writing with personnel of other law enforcement/criminal justice agencies.	(41)									(4)
15.	Instructs law enforcement personnel in various specialized evidence gathering techniques	(47)									(5
16.	Attends training in and studies use of new and specialized police procedures and equipment.	(53)									(5
17.	Testifies at judicial proceedings as expert witness.	(59)									(6
18.	Completes daily activity summary in order to inform superior of daily work output and to maintain record for future reference.	(65)									(7
19.	Reads records of crime activity such as station log, hotsheet and posted notice, and exchanges information with fellow officers.	(71)									(7
20.	IF YOU PERFORM ADDITIONAL TASKS NOT DESCRIBED ABOVE, PLEASE DESCRIBE THEM ON THE BACK OF THIS FORM.								:		
						25		•			

OMB# 043-S75042 Exp. 7/31/76 LEAA (3600-0)

AIR Task Checklist LAW ENFORCEMENT

Please fill in the identification information requested below. The information will be used for research purposes only and will not become a part of any personnel or official file.

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	Bureau/Division or Unit:	
2.	Agency address:	
3.	What is your position or job title:	
4.	What is your current duty assignment:	
5.	What is your age:(15-16) 6. Sex: Male ()1	(17)
7.	What is your Race: Black () 1 White () 2 Other ()3	(18)
8.	How long have you worked in your current duty assignment: Yrs. Months	(19-2
9.	How many years have you worked for this agency:	(23-2
10.	In all, how many years have you worked in the law enforcement area:	(25-2
11,	Please circle the number indicating your current level of formal education	•
	Less than high school diploma	
	High school graduate	
	1 to 2 years of college	
	2-year college degree	
	3 to 4 years of college	
	4-year college degree	(27-2
	Some graduate course work	\21-2
	Master's degree	
	Graduate work beyond the master's degree 09	
	Doctorate, 10	
	LL.B. or J.D 11	



TASK CHECKLIST

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- Step 4. Then, complete column 3, 4, or 5 to show where you learned the knowledge or skill.

Formal training = classroom (non college) workshops, special courses, entry level or in-service training programs

College courses = courses taken at college or law school either for a degree or to acquire special knowledge

Informal job learning = working on the job

If you acquired the knowledge or skill in more than one way, put a 1 in the box that indicates the most valuable source, and a 2 in the box that indicates the less valuable source. If you learned the knowledge or skill from all three sources, put a 3 in the box that indicates the least valuable source.

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OMB# 043-S75042 Exp. 7/31/76 LEAA (3600-0)

TASK CHECKLIST

Job Title: POLICE PLANNER

Scale for Amount of Time Spent on Task:

A = A very small amount of time

B = A moderate amount of time

C = A considerable amount of time

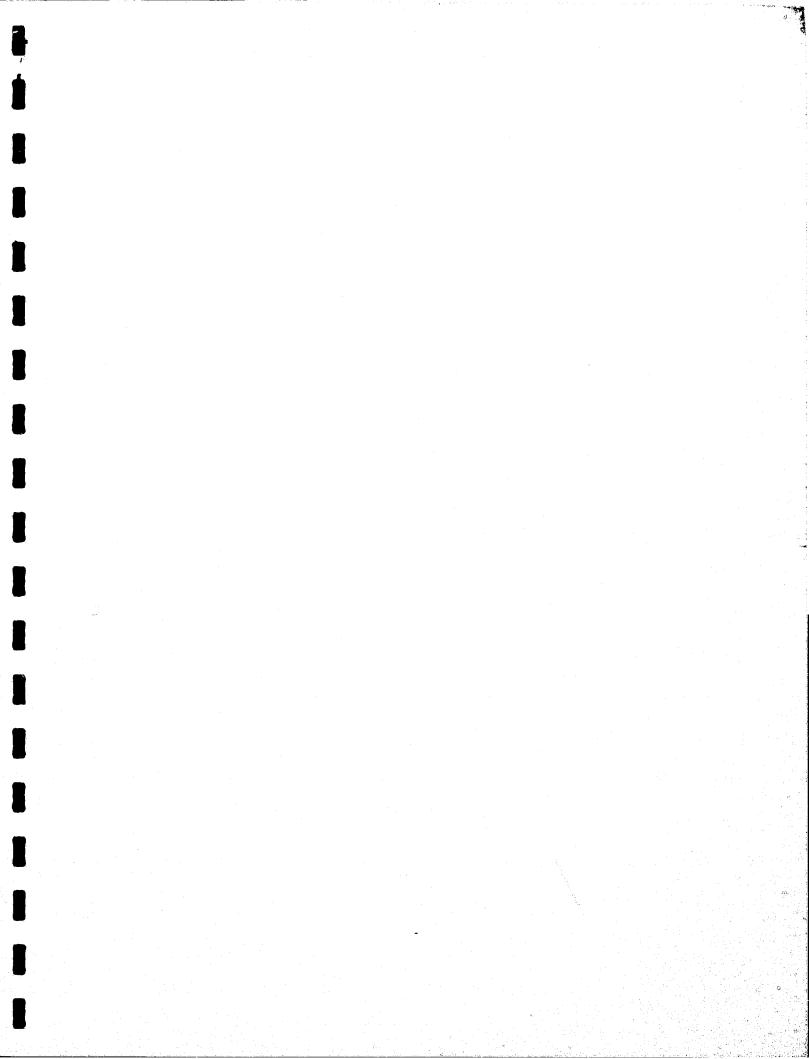
TACK	STATEMENTS	Do (+)	Amount of time spent	(ran	nk order l	.2,3)	Traini	ng/Educa	tion	
IASK	STATEMENTS	or Don't Do (-)	on Task (see scale above)	Formal Training	College Course	On the Job	Too Little	About Right	Too Much	
1.	Coordinates activities related to preparation of applications for federal or other grants by elements of department, initiating submission of applications, reviewing and editing applications, and providing research and planning support necessary to identify and isolate problem areas and propose possible solutions for inclusion in grant applications. (29)									(34)
2.	Observes operations and studies reports of departmental elements in order to identify and solve operational problems. (35)									(48)
3.	Reads offense or accident reports and daily activity report of officers, analyzes, interprets and summarizes report data, and compiles periodic crime trend and activity recap reports for submission to management									(46)
4.	Gathers, compiles and analyzes departmental crime and workload statistics. (47)									(52)
5.	Reviews, edits, and approves correspondence, studies, and reports destined for another office or agency									(58)
6.	Prepares written directives, standard operating procedures and police statements. (59)									(64)
7.	Confers with departmental chief executive and/or command staff to report progress on programs and projects, and to receive guidance									(70)
8.	Reviews budget requests and participates in presentation to approving or reviewing authority.									(76)
9.	Institutes and monitors budgetary and other administrative controls. (77)				<u> </u>					(16)
10.	Conceives, plans and recommends innovative methods for preventing/coping with major crimes or other service delivery problems									(22)
11.	Makes oral presentations to local governing body, its components, and/or other outside councils, or boards(23)									(28)
12.	Communicates orally or in writing with personnel of other law enforcement/criminal justice agencies(29)									(34)
13.	Provides information to the news media. (35)									(40)
14.	Attends and participates in professional meetings, conferences, seminars, and public gatherings. (41)									(46)
15.	Represents agency on special task forces or commissions. (47)									(52)
	Instructs/teaches law enforcement personnel in planning and budgeting techniques. (53)									(58)
17.	Advises and makes recommendations to chief executive or immediate superior regarding agency (59)									(64)
18.	Compiles and prepares required administrative reports. (65)	ļ								(70)
19.	IF YOU PERFORM ADDITIONAL TASKS NOT DESCRIBED ABOVE, PLEASE DESCRIBE THEM ON THE BACK OF THIS FORM.									

OMB# 043-S75042 Exp. 7/31/76 LEAA (3600-N)

AIR Task Checklist LAW ENFORCEMENT

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5.	What is your age: (15-16) 6. Sex: Male ()1 Female ()2
7.	What is your Race: Black () 1 White ()2 Other ()3
8.	How long have you worked in your current duty assignment: Yrs. Months
9.	How many years have you worked for this agency:
10.	In all, how many years have you worked in the law enforcement area:
11,	Please circle the number indicating your current level of formal education
	Less than high school diploma01
	High school graduate02
	1 to 2 years of college
	2-year college degree04
	3 to 4 years of college
	4-year college degree
	Some graduate course work
	Master's degree
*	Graduate work beyond the master's degree 09
	Doctorate, 10
	LL.B. or J.D 11



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OMB# 043-S75042 Exp. 7/31/76 LEAA (3600-N)

TI-5/75

TASK CHECKLIST

Job Title: LEGAL ADVISOR

Scale for Amount of Time Spent on Task:

A = A very small amount of time

B = A moderate amount of time

C = A considerable amount of time

		Do (+)	Amount of time spent	(rar	nk order i	1,2,3)		ing/Educa	ıtion	
TAS	K STATEMENTS	or Don't Do (-)	on Task (see scale above)	Formal Training	College Course	On the Job	Too Little	About Right		
1.	Conducts studies of and prepares position papers about various legal phases of police department operations. (29)									(34)
2.	Monitors oral testimony and demeanor of officers in court. (35)				<u> </u>					(40)
3.	Discusses a charge and circumstances of arrest made by an officer, ensuring that the charge and circumstances are in accordance with applicable laws and made in accordance with departmental policies and procedures. (41)									(46)
4.	Reviews reports or files containing information related to misdemeanor and/or felony cases to ensure that the report is complete and accurate, and that the case is prosecutable in judicial proceedings. (47)									(52)
5.	Testifies at judicial proceedings		<u> </u>						-	(58)
6.	Prepares and files application for arrest and search warrants with the proper judicial official.		<u> </u>							(64)
7.	Meets periodically with officers of the department to inform them of any new court decisions affecting departmental policies and procedures or to review nolle-prosse cases. (65)				<u>.</u>					(70)
8.	Provides consulting services to management, supervisors, and officers regarding legal matters, visiting various operational elements to meet with persons regarding technical points of the law which require clarification. (71)									(76)
9.	Responds to all incidents which require the presence of legal counsel to provide legal advice and assistance to officials at the scene. (77)									(16)
10.	Reviews and studies trends in the law as indicated by judicial decisions and legal interpretations, and translates these into departmental policies and procedures when warranted. (17)									(22)
11.	Prepares and submits formal legal opinions regarding departmental matters. (23)									(28)
12.	Assists appropriate officials in cases involving repeat offenders and crimes of exceptional violence to expedite the indictment and prosecution of offenders. (29)									(34)
13.	Talks with representatives of prosecutor's office, discussing reasons for court dismissal actions, contacting prosecutor who tried a particular case in question, if necessary, for clarification or recommendations. (35)									(40)
14.	Writes and periodically updates an annotated, indexed manual on criminal laws and codes applicable in department's area of jurisdiction									(45)
15.	Reads and reviews contractual agreements, such as leases, to ensure that legal agreements necessary to departmental operations are properly executed. (47)									(52)
16.	Coordinates preparation of litigation, proposed answers to interrogatories, affidavits, and summaries of correspondence in order to defend individual police officers, police officials, the police department, or a governmental unit in civil suits. (53)									(58)
17.	Contributes to research and drafting of governmental unit's position in class action suits and other litigation. (59)									(64)
10	Annears as attorney of record in administrative bearings to represent department (85)	- I		1		1	11		1	(78)

TASK CHECKLIST

Job Title: LEGAL ADVISOR

Scale for Amount of Time Spent on

A = A very small amount of time

B = A moderate amount of time

C = A considerable amount of time

Amount of (X)
Training/Education Where learned Amount of Do (+) (rank order 1,2,3) time spent TASK STATEMENTS or Don't on Task (see Formal College On the Too About Too Do (-) scale above) Training Course Job Little Right Much 19. Participates in collective bargaining or negotiating sessions with representatives of employee organizations to give advice on contracts and legal matters. (76)Communicates orally or in writing with personnel in department and with personnel of other law enforcement/criminal justice agencies, the community, and outside boards and councils. (77) (16)21. Provides information to the news media. (17) (22)Attends and participates in professional meetings, conferences, seminars and staff meetings. (23) (28) Instructs law enforcement personnel in new and revised interpretations of statutes. (29)24. Advises chief executive or immediate superior regarding legal aspects of agency goals. objectives, policies, and procedures. (35) (40)25. Confers with departmental chief executive and command staff to report progress on programs and projects, and to receive guidance. (41) 26. IF YOU PERFORM ADDITIONAL TASKS NOT DESCRIBED ABOVE, PLEASE DESCRIBE THEM ON THE BACK OF THIS FORM.

TASK ANALYSIS INSTRUCTIONS

As part of the National Manpower Survey detailed task descriptions have been prepared for a number of positions in the law enforcement and criminal justice system. In addition to the task descriptions, the knowledges and skills required to do the task and the standards on which performance of the task can be evaluated are set forth.

Because of your familiarity with one of the positions under study you have been selected to review some of the task statements. We would like you to read the task statement, making any changes you think are needed to give a good description of the task. You will note that each task statement describes what is done, what is needed to do it, and why it is done.

The second step is to read the list of knowledges and skills required. It is in the lower right corner of the form. Again, make any changes you think would improve the list--changing the knowledges or skills, adding new ones, or eliminating any you think are not necessary.

Finally, please review the performance standards, in the lower left corner. Again, make any changes, additions, or deletions that you think will improve the list.

The last page of the form contains three questions about training or education for this task.

We appreciate your cooperation in this part of the study.

TASK ANALYSIS FORM

<i></i> {&&&&&&&&&&&&&&&&&&&&&&&&&&&&&&&&&&&&
X
XTASK: Adopts departmental goals and objectives, calling upon personal knowledge and experience regarding the department,
Xthe community served, role of police in the administration of justice, and other relevant factors, basing decisions
Xregarding goals and objectives on recommendations made by subordinates supported by staff study and research, when
Xavailable, in order to establish clearly defined departmental goals and objectives against which progress of the department
Xand its individual organizational components toward attainment of these goals and objectives can be measured and
*monitored and to insure that such goals and objectives are in accord with needs of departmental personnel and the
*Community and legal and moral considerations involved in the administration of justice in a democratic society.
X CONDUCTION OF THE CONTROL OF THE

PERFORMANCE STANDARDS

LOCATION

LAW ENFORCEMENT

POSITION

Goals and objectives provide an effective means by which department management can judge performance and, when necessary take corrective action.

KNOWLEDGES OR SKILLS REQUIRED

REVIEWED BY

Knowledge of the role of police in a democratic society.

Knowledge of the police function, authority and responsibility.

Knowledge of police administration.

Knowledge of management by objectives.

TASK NO. 1

How to select realistic goals and objectives and institute an effective program of follow-up to ensure attainment.

Knowledge of the department organization, operations, and command staff.

Knowledge of the community served.

Knowledge of the governmental unit administration.

Knowledge of agency/community needs and resources.

1.	What do you think is the <u>one</u> best way to learn to do this task?
	Academic education
	Special training, such as academy training, workshops, seminars, or courses
	Working with experienced co-worker
	On-the-job training by supervisor
	No special training necessary
	Other (please specify):
2.	How difficult was it for you to learn how to do this task?
	one of the most difficult tasks to learn on the whole job
	very difficult to learn
	of moderate difficulty
	of slight difficulty
	not difficult to learn at allcan easily be learned by anyone
3.	Are college courses essential or highly necessary for performing this task?
	No, the task does not need college training
	Yes. Why?

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00-F)		KNOWLEDGE (CHECKLIST	
Respondent's	s Position_	Title	7 .	Location
				200401011
Position to	be rated:	Police Executiv	e (Chief Exec	utive and Mid-Level Manager)
required by knowledge no sults will p new employed	certain po ormally fou oermit plan es up to fu ns under st	sitions in the conding newly hired ning of further of larther of the conding the condinate conding the	riminal justic i personnel in education and Because of yo	about the level of knowledge ce field, and the level of n those positions. The re- training programs to bring our familiarity with one of you have been selected to
order for an usual level describe the assigned to	n incumbent of supervi e level of the positi	to function in a sion provided for knowledge that yo on. Use the same	a capable man or the job. The ou have observe e scale, descr	ledge that is required in ner, with no more than the nen we would like you to wed in personnel newly ribed below, to rate the hired personnel.
	Expert: In-c	depth knowledge, incluor complex situations	ding application	of knowledge
	High Degree: unusual or	Highly knowledgeable complex situations.	e. Can apply know	vledge in some
•	Moderate Degr typical or	ree: Has level of kno usual situations.	wledge to perfor	n acceptably in
	Slight Degree or routine	e: Has sufficient kno situations.	wledge to function	on in only simple
	None: Not re	equired by job or lear	ned by incumbent	· · · · · · · · · · · · · · · · · · ·
		•	•	
	level of k			that you think best de- performance in the position
Circle the level o	one letter f knowledge	on the <u>Proficie</u> that a <u>newly</u> hi	ncy scale tha red person us	t you think best describes ually brings to the job.
formal train	ning. If t ry level wo	his training is	required by t	n receive academy or other his agency, consider the ciency scale as an individual
If form	mal trainin wly assigne	g <u>is not require</u> d to the job.	d, rate the P	roficiency of the typical
Is for	mal trainin	g required by th	is Agency for	this position?
	Ye	S	No	· · · · · · · · · · · · · · · · · · ·

OMB# 043-S75013 Exp. 7/31/76 LEAA (3600-F)

KNOWLEDGE CHECKLIST

Posit	ion	Title POLICE EXECUTIVE				REC		OB REME	NT:	<u>.</u>	P	ROF	ICIE	NC'	<u>Y:</u>
		-Chief Executive -Mid-Level Manager		•	1	for perf	capa orma		d		net	vel wly , rson	assi		
				Expe	Hotel	W ON	Sirerate	None		Expers	High	Mode	Sylohi	Mona	7
Α.	Po Re	lice Responsibilities and Environmental lationships													
	1.	the police history, role, mission, authority, and responsibility	(15)	E	Н	M	s	N		E	Н	М	S	N	(16)
	2.	criminal justice system/agencies/relationships	(17)	Ε	Н	М	S	N		E	Н	М	S	N	(18)
	3.	criminal/civil laws and legal procedures	(19)	E	Н	М	S	N		E	Н	М	S	N	(20)
	4.	legal issues and trends in law enforcement	(21)	E	Н	М	S	N		E	Н	М	S	N	(22)
•	5.	citizen rights and processing of complaints	(23)	E	Н	М	S	N		E	Н	М	S	N	(24)
	6.	external pressure groups, radical groups, dissidents	(25)	Ε	Н	М	S	N		Ε	Н	М	S	N	(26)
	7.	contemporary social problems	(27)	E	Н	М	s	N		Ε	Н	М	s	N	(28)
	8.	police ethics and civil liability	(29)	Ε	Н	М	S	N		Ε	Н	М	S	N	(30)
	9.	community needs and resources	(31)	Ε	Н	М	S	N		Ε	Н	М	S	N	(32)
В.	0r	ganization and Management			4										
	1.	leadership and supervision	(33)	Ε	Н	М	S	N	۱	Ε	н	М	S	N	(34)
	2.	police organization, administration, and operations	(35)	E	Н	М	s	N		E	Н	M	S	N	(36)
	3.	fiscal and budget management	(37)	E	Н	М	S	N		E	Н	М	S	N	(38)
	4.	police labor relations	(39)	Ε	Н	М	s	N		Ε	Н	М	S	N	(40)
	5.	planning and research	(41)	Ε	Н	M	S	N		Ε	Н	M	S	N	(42)
	6.	decision-making	(43)	Ε	Н	М	S	N	1	Ε	Н	М	S	N	(44)
	7.	management by objectives	(45)	E	Н	М	S	N		E	Н	М	S	N	(46)
	8.	motivation, morale, and police productivity	(47)	Е	Н	М	S	N		Ε	Н	М	S	N	(48)
	9.	departmental goals and objectives	(49)	Ε	Н	M	S	N	I	E	Н	M	S	N	(50)
-1	0.	written and oral communications	(51)	Ε	Н	M	S	N		E	Н	M	S	N	(52)

Positi	on T	itle POLICE EXECUTIVE				REC		BEME	EN7	<u> </u>				ENC'	
e e		-Chief Executive -Mid-Level Manager	for capable newly a performance person												
				Export	High	Mode	Sligh	None			High	Moder	Slight	Mone	7
	11.	personnel administration	(53)	E	Н	М	s	N		Ε	Н	М	S	N	(54)
	12.	human relations/group processes	(55)	Ε	Н	М	s	N		Ε	Н	М	S	N	(56)
	13.	needs assessment, resource allocation and utilization	(57)	Ε	Н	М	S	N		Ε	Н	М	S	N	(58)
	14.	data processing and the use of computers in agency management and operations	(59)	E	Н	М	S	N		Е	Н	М	S	N	(60)
C.	Po1	ice Operations													
		<pre>patrol administration, policies, procedures, techniques, problems</pre>	(61)	E	Н	M	S	N		Е	Н	M	S	N	(62)
		criminal investigation policies, procedures, techniques and problems	(63)	Е	Н	M	S	N		Ε	Ħ	M	S	N	(64)
		traffic supervision, safety, and accident investigation	(65)	E	н	M	S	N		Ε	Н	M	S	N	(66)
	4.	police tactical operations	(67)	Ε	Н	M	S	N		Ε	Н	М	S	N	(68)
	5.	crowd/riot control	(69)	E	Н	M	S	N		Ε	Н	М	S	N	(70)
	6.	hostage and sniping situations	(71)	Ε	Н	М	S	N		Ε	Н	M	S	N	(72)
	7.	crime strike/task forces	(73)	Ε	Н	M	S	N		Ε	Н	Y	S	N	(74)
	8.	crime prevention	(75)	Ε	Н	М	S	N		Ε	Н	M	S	N	(76)
	9.	criminal behavior	(77)	Ε	Н	М	S	N		Е	Н	М	S	N	(78)
7	0.	commercial, industrial and residential security	(79)	Ε	Н	М	S	N		Ε	Н	М	S	N	(80)
1	1.	juvenile justice system and laws	(15)	E	Н	М	S	N		Ε	Н	М	S	N	(16)
1		prevention and control of juvenile delinquency	(17)	Ε	Н	М	S	N		Ε	Н	М	S	N	(18)
1	3.	interviewing and eliciting information	(19)	E	Н	М	S	N		Ε	Н	М	S	N	(20)
1	4.	collecting, recording and analyzing information	(21)	E	Н	М	s	N		E	Н	M	S	N	(22)

Position Title POLICE EXECUTIVE				_	REQ	UIR	EME	NT	·:	P	ROF	ICIE	NC'	<u>/:</u>
-Chief Executive -Mid-Level Manager				•	evel or c erfo	apal		ed		nev	el d ly a	essi		
			EXDOR	High	Modom	Sligh	None		Expert	, , , , , , , , , , , , , , , , , , ,	Moder	SITON	None	7
15. police reporting		(23)	E	Н	М	S	N		E	Н	М	S	N	(24)
16. arrest and detention		(25)	E	Н	M	S	N		Е	Н	М	S	N	(26)
17. hot pursuit	•	(27)	E	Н	М	S	N		Ε	Н	M	S	N	(28)
18. use of physical force, lethal ar weapons	nd non-lethal	(29)	Ε	Н	М	S	N		Е	Н	М	S	N	(30)
D. Staff Services														
1. police-community relations		(31)	Ε	Н	М	S	N		Ε	Н	M	S	N	(32)
2. police-news media relations and information	public	(33)	Ε	Н	М	s	N		Е	Н	M	S	N	(34)
legal advice/services		(35)	Ε	Н	М	S	N		E	Н	М	S	N	(36)
4. training	<u> </u>	(37)	E	Н	М	S	N		E	Н	М	S	N	(38)
E. Auxiliary and Technical Services														
1. police communications		(39)	Ε	Н	М	S	N		Е	Н	M	S	N	(40)
2. police records and information s	systems	(41)	Ε	Н	М	S	N		E	Н	М	S	N	(42)
3. criminalistics/crime laboratory		(43)	Ε	Н	М	S	N		Е	Н	М	S	N	(44)
4. police supplies, equipment, and	facilities	(45)	E	Н	М	S	N		Е	Н	М	S	N	(46)
					[]									
			j											
											4			
		(45)												

OMB# 043-S75013 Exp. 7/31/76 LEAA (3600-E)

Respondent's Position

KNOWLEDGE CHECKLIST

, icopolitono o ros rosa.	Title		Locatio	on	
Position to be rated:	line Personnel (P	atrol Supervisor.	Investigative	Services	Super.

Position to be rated: Line Personnel (Patrol Supervisor, Investigative Services Super. Patrol Officer, Detective/Criminal Investigator)

This form will be used to provide information about the level of knowledge required by certain positions in the criminal justice field, and the level of knowledge normally found in newly hired personnel in those positions. The results will permit planning of further education and training programs to bring new employees up to full performance. Because of your familiarity with one of the positions under study, named in the box above, you have been selected to complete this form.

We would like you to tell us the level of knowledge that is required in order for an incumbent to function in a capable manner, with no more than the usual level of supervision provided for the job. Then we would like you to describe the level of knowledge that you have observed in personnel newly assigned to the position. Use the same scale, described below, to rate the job requirements and the proficiency level of newly hired personnel.

Expert: In-depth knowledge, including application of knowledge
in unusual or complex situations.

<u>High Degree:</u> Highly knowledgeable. Can apply knowledge in some unusual or complex situations.

<u>Moderate Degree</u>: Has level of knowledge to perform acceptably in <u>typical</u> or usual situations.

<u>Slight Degree</u>: Has sufficient knowledge to function in only simple or routine situations.

None: Not required by job or learned by incumbent.

Circle one letter on the <u>Job Requirement</u> scale that you think best describes the level of knowledge required for capable performance in the position you are rating.

Circle one letter on the <u>Proficiency</u> scale that you think best describes the level of knowledge that a newly hired person usually brings to the job.

In many agencies new employees in this position receive academy or other formal training. If this training is required by this agency, consider the typical entry level worker to be rated on the Proficiency scale as an individual who has just completed such training.

If formal training is not required, rate the Proficiency of the typical employee newly assigned to the job.

Is formal training required by this Agency for this position?

1/			
Y O		NIO.	
Yes	•	No	

OMB# 043-S75013 Exp. 7/31/76 LEAA (3600-E)

KNOWLEDGE CHECKLIST

P	osition	Title LINE PERSONNEL				REC	JC 2UIR		ENT:		PRO	FICI	ENC	<u>Y:</u>
		 Patrol Supervisor Investigative Services Supervisor Patrol Officer 	Level required Level of ty for capable newly assignment personnel											
		- Detective/Criminal Investigator		Erns	High	Work.	Sligh	None		cypert !:	Wod.	Slice	Mone	
. A		lice Responsibilities and Environmental lationships												
	1.	police history, role and mission	(15)	Ε	Н	М	S	N	l l e	H	М	S	N	(16)
	2.	criminal justice system/agencies/relationships	(17)	E	Н	М	S	N	E	: H	М	S	N	(18)
	3.	criminal/civil laws	(19)	Е	Н	М	S	N	E	: H	М	S	N	(20)
	4.	criminal/civil legal procedures	(21)	E	Н	М	S	N	E	: H	М	S	N	(22)
	5.	laws of evidence	(23)	Е	Н	М	S	N	E	H	M	S	N	(24)
	6.	legal issues and trends in criminal law enforcement	(25)	E	Н	М	S	N	E	H	М	S	N	(26)
	7.	local jurisdiction, laws and ordinances	(27)	Е	Н	М	S	N	E	: Н	М	S	N	(28)
	8.	police authority, responsibilities, rights and civil liability	(29)	E	Н	М	S	N	E	: Н	М	S	N	(30)
	9.	preparation and execution/issuance/processing of a warrant or subpoena	(31)	E	Н	М	S	N	E	Н	М	S	N	(32)
	10.	citizen rights and processing of complaints	(33)	Ε	Н	М	S	N	E	Н	M	S	N	(34)
	11.	courtroom procedures, demeanor and presentation of testimony	(35)	Ε	Н	M	S	N	E	Н	М	S	N	(36)
	12.	suspect identification by victim or witness	(37)	Ε	Н	М	S	Ŋ	E	Н	M	S	N	(38)
	13.	external pressure groups, radical groups, dissidents	(39)	Е	н	М	s	N	E	Н	М	S	N	(40)
	14.	contemporary social problems (urban, ethnic, etc.)	(41)	Ε	Н	М	s	N	E	Н	М	S	N	(42)
	15.	community needs and resources	(43)	Е	Н	М	S	N	E	Н	М	S	N	(44)
В	. 0r	ganization and Management												
	٦.	leadership and supervision	(45)	Ε	Н	M	s	N	E	Н	M	S	N	(46)
	2.	police organization, administration, and operations	(47)	Е	Н	М	s	N	E	Н	М	s	N	(48)

osition Ti	tleLINE PERSONNEL	JOB REQUIREME			ENT	r <u>:</u>	P	ROP	FICI	ENC	Y :			
		Level require for capable performance			ed		ne		of t assi nel					
			Expe	High	Mode	Sir	Wong	- / J	Experi	High	Mode	Slick	Mono	7
3.	police labor relations	(49)	E	Н	М	S	N		Ε	Н	М	S	N	(50)
4.	planning and decision-making	(51)	E	Н	М	S	N		Ε	Н	М	S	N	(52)
5.	motivation, morale, and police productivity	(53)	E	Н	М	S	N		E	Н	М	S	N	(54)
6.	departmental goals and objectives	(55)	E	Н	М	S	N		E	Н	М	S	N	(56)
7.	written and oral communications	(57)	Е	Н	М	S	N		E	Н	М	S	N	(58)
8.	personnel administration	(59)	Е	Н	М	S	N		E	Н	М	S	N	(60)
9.	human relations/group processes	(61)	Е	Н	М	S	N		Е	Н	М	S	N	(62)
C. Pol	lice Operations													
C	Conduct of investigations:								ļ					
1.	preliminary investigations	(63)	E	Н	М	S	N		Ε	Н	М	S	N	(64)
2.	techniques for identification of lost/stolen items	(65)	E	Н	М	s	N		Ε	Н	М	S	N	(66)
3.	interviewing and eliciting information	(67)	Ε	Н	М	S	N		Ε	Н	М	S	N	(68)
4.	collecting, recording, analyzing information	(69)	E	Н	М	S	N		E	Н	М	S	N	(70)
5.	information sources and informants	(71)	Ε	Н	М	S	N		Е	Н	М	S	N	(72
6.	visual and audio surveillance	(73)	Е	Н	М	S	N		Ε	Н	М	S	N	(74
7.	field testing for intoxication or use of drug	S (75)	Ε	Н	М	S	N		Ε	Н	М	S	N	(76
8.	operation of breathalyzer	(77)	Ε	Н	M	S	N		Ε	Н	М	S	N	(78
9.	investigation of specific crimes: e.g., arson burglary, rape, homicide	, (79)	E	Н	М	s	N		E	Н	М	S	N	(80
10.	preparation of clear, concise reports	(15)	Ε	Н	M	s	N		Ε	Н	М	S	N	(16)
7	Traffic supervision and safety:													
1.	traffic control	(17)	Ε	Н	М	S	N		E	н	М	S	N	(18)

ion TitleLINE PERSONNEL	JOB REQUIREMENT: PROFICIENCY						Y :						
	Level require for capable performance						ed	,	ne	vel wly rson	assi		
		Expe	ן,יפרינ אינה	Mode	Si	Mon	e list	ZYO PORT	High	Mode	Slice	Mone	7
2. traffic laws and ordinances	(19)	E	Н	М	S	N		Е	Н	М	S	N	(20
3. traffic accident investigation	(21)	Ε	Н	M	S	N		E	Н	М	S	N	(22
Police tactical operations:	**												
1. crowd/riot control	(23)	Ε	Н	М	S	N		Ε	Н	М	S	N	(24
2. hostage and sniping situations	(25)	E	Н	М	s	N		Ε	Н	М	S	N	(26
3. crime strike/task forces	(27)	E	Н	М	S	N		Е	Н	М	S	N	(28
Emergency care and rescue:													
1. fire alarm response	(29)	Ε	Н	М	S	N		Ε	H	M	S	N	(30
2. first aid/rescue at accidents	(31)	E	Н	М	S	N		E	Н	М	S	ି	(32
3. crisis intervention, dispute settlement	(33)	E	Н	М	S	N		E	Н	М	S	N	(34
Special problems of juveniles:													
1. juvenile justice system, laws, and procedure	(35)	Ε	Н	М	S	N		Ε	Н	M	S	N	(36
 prevention and control of juvenile delin- quency 	(37)	E	Н	М	s	N		Ε	Н	М	S	N	(38
Departmental policies/procedures:									·				
1. arrest techniques	(39)	Ε	Н	М	S	N		Ε	Н	М	S	N	(40
2. hot pursuit/defensive driving	(41)	Ε	Н	М	S	N		Е	Н	М	S	N	(42
3. use of physical force, lethal and non-lethal weapons	(43)	Е	Н	М	S	N		Е	Н	М	s	N	(44
4. care and use of firearms	(45)	Ε	Н	M	S	N		Е	Н	М	S	N	(46
5. defensive tactics/physical training	(47)	Е	Н	М	S	N		Е	Н	М	S	N	(48
6. disarming, handcuffing, other restraint	(49)	Е	Н	М	S	N		Ε	Н	М	S	N	(5)
7. technique for searching a person	(51)	E	Н	M	S	N		Е	Н	М	S	N	(5:
the state of the s							- Ji		٠	لبننسب			

Page ____

Positio	on Ti	tle LINE PERSONNEL	JOB REQUIREMENT:			ſ: -	P	ROF	ICIE	ENC'	Y :				
			Level required for capable performance				eď		nev		assi	ypic gned			
				Expa	High	Mode	Slice	None	,/		315 4614	Moden	Slight	None	7
				<u> </u>	/ \(\frac{1}{2}\)	/ ₹	/5	/ 💆	//	4	/ //	\ <u>%</u>	15	<u> </u>	
D.	Sta	aff Services													
	1.	use of agency computer terminal	(53)	E	Н	M	S	N		Е	Н	М	S	N	(54)
	2.	data analysis, synthesis, interpretation	(55)	Ε	Н	М	s	N		Ε	Н	М	S	N	(56)
	3.	use of agency files	(57)	E	Н	М	S	N		Е	H	M	S	N	(58)
	4.	police-community relations	(59)	Ε	Н	M	S	N		Ε	Н	M	S	N	(60)
	5.	police-media relations	(61)	Ε	Н	M	S	N		E	Н	М	S	N	(62)
	6.	release of information	(63)	Ε	Н	М	S	N		Е	Н	М	S	N	(64)
	7.	issues requiring legal interpretation	(65)	Е	Н	М	S	N		E	Н	М	S	N	(66)
Ε.	Aux	xiliary and Technical Services													
	1.	departmental communications	(67)	E	Н	M	S	N		E	н	M	S	N	(68)
	2.	criminalistics/forensic science	(69)	Е	Н	М	S	N		E	Н	М	S	N	(70)
	3.	protection/analysis of crime scene	(71)	Ε	Н	М	S	N		Е	Н	М	S	N	(72)
	4.	police photography	(73)	Ε	Н	М	S	N		Ε	Н	M	S	N	(74)
	5.	finger prints - collection, preparation, classification, use	(75)	Е	Н	М	S	N		Ε	Н	М	S	N	(76)
	6.	capabilities of crime laboratory	(77)	Ε	Н	М	S	N		Ε	Н	M	S	N	(78)
	7.	availability, use, maintenance of police supplies and equipment	(79)	E	Н	М	s	N		E	Н	M	S	N	(80)
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OMB# 043-S75013 Exp. 7/31/76 LEAA (3600-D)

KNOWLEDGE CHECKLIST

Respondent's Position	•	
-	Title	Location
Position to be rated:	Evidence Technician/Crime Scene Analyst	· · · · · · · · · · · · · · · · · · ·

This form will be used to provide information about the level of knowledge required by certain positions in the criminal justice field, and the level of knowledge normally found in newly hired personnel in those positions. The results will permit planning of further education and training programs to bring new employees up to full performance. Because of your familiarity with one of the positions under study, named in the box above, you have been selected to complete this form.

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<u>High Degree</u>: Highly knowledgeable. Can apply knowledge in some unusual or complex situations.

Moderate Degree: Has level of knowledge to perform acceptably in typical or usual situations.

<u>Slight Degree</u>: Has sufficient knowledge to function in only simple or routine situations.

None: Not required by job or learned by incumbent.

Circle one letter on the <u>Job Requirement</u> scale that you think best describes the level of knowledge required for capable performance in the position you are rating.

Circle one letter on the <u>Proficiency</u> scale that you think best describes the level of knowledge that a newly hired person usually brings to the job.

In many agencies new employees in this position receive academy or other formal training. If this training is required by this agency, consider the typical entry level worker to be rated on the Proficiency scale as an individual who has just completed such training.

If formal training is not required, rate the Proficiency of the typical employee newly assigned to the job.

Is formal training required by this Agency for this position?

	19			
Yes		81		
YPS		· No		
1.00		.,,0	4.5	

Posi	tion	Title Evidence Technician/Crime Scene Analyst	thatyst				FICIENCY:								
					•	evel or control	apal		d	-	nev		assi	ypic gned	
				Experi	"High	Wode.	Sligh	None		Expert	High.	Moden	Slight	None	7
Α.		lice responsibilities and Environmental lationships		-											
	1.	current criminal activities/trends	(15)	E	Н	М	s	N		E	Н	М	S	N	(16)
	2.	police history, role and function	(17)	E	Н	М	S	N		Ε	Н	М	S	N	(18)
	3.	criminal justice system/agencies/relations	(19)	E	Н	М	s	N		E	Н	М	S	N	(20)
	4.	criminal/civil law definitions, phrases and procedures	(21)	Ε	Н	М	S	N		E	Н	М	S	N	(22)
	5.	constitutional issues and trends, current/ recent judicial decisions	(23)	E	Н	М	S	N		E	Н	М	S	N	(24)
	6.	laws of evidence; court preparation, presentation, admissability	(25)	Е	Н	М	s	N		Ε	н	М	S	N	(26)
	7.	local jurisdiction, laws and ordinances	(27)	Е	Н	М	S	N		Ε	Н	М	S	N	(28)
	8.	courtroom procedures, demeanor and presentation of testimony	(29)	E	Н	М	S	N		Ε	Н	М	S	N	(30)
	9.	police authority, rights and civil liability	(31)	Ε	Н	М	S	N		Ē	Н	М	S	N	(32)
	10.	contemporary social problems	(33)	Ε	Н	М	S	N-		Ε	Н	М	S	N	(34)
	11.	relationship with other LE/CJ agencies	(35)	Ε	Н	М	S	N		Ε	Н	М	S	N	(36)
В.	0r	ganization and Management													
7	1.	departmental goals, objectives, activities, programs, and special projects	(37)	E	Н	M	S	N		Ε	Н	M	S	N	(38)
	2.	written and oral communications	(39)	E	Н	М	s	N		Ε	Н	М	S	N	(40)
. · ?	3.	human relations/group process	(41)	Ε	Н	М	S	N		Ε	Н	М	S	N	(42)
C.	Ро	lice Operations													
*. 	1.	patrol administration, policies, procedures, problems	(43)	E	Н	M	S	N		Ε	H	М	S	N	(44

osition ⁻	Γitle	Evidence Technician/Crime Scene Analyst							T: PROFICIENCY: Level of typical						
			Level required for capable performance							nei		assi	ypic gnec		
				Erina	Hoh	Mode	Sliciete	Mong	/ با	$\left\{ \sum_{i \in \mathcal{D}_{\mathbf{p}, i}} f_i \right\}$	High	Moder	Slink	Mone	7
2.		nduct of preliminary investigations field sting for intoxication and use of drugs	(45)	Ε	Н	M	S	N		E	Н	M	S	N	(46)
		licies, procedures, techniques and problems investigation of:													
	3.	arson	(47)	Ε	Н	М	S	N		Ε	Н	М	S	N	(48)
	4.	assault	(49)	Ε	Н	М	S	N		Ε	Н	М	S	N	(50)
	5.	auto theft	(51)	Е	Н	M	S	N		Ε	Н	М	S	N	(52)
	6.	burglary and robbery	(53)	Ε	Н	М	S	N		Ε	Н	М	S	N	(54)
	7.	explosives and clandestine devices	(55)	E	Н	М	S	N		Ε	Н	М	S	N	(56)
	8.	fugitives and missing persons	(57)	Ε	Н	М	S	N		Е	Н	М	S	N	(58)
	9.	homicide	(59)	Ε	Н	М	S	N		Е	Н	М	S	N	(60)
1	0.	narcotics	(61)	Е	Н	М	S	N		Ε	Н	М	S	N	(62)
1	1.	organized white collar, and corporate crime	(63)	Ε	Н	М	s	N		Е	Н	М	S	N	(64)
1	2.	rape and sex offenses	(65)	Ε	Н	М	s	N		Ε	Н	М	S	N	(66)
1	3.	other, please specify:	(67)	Ε	Н	M	s	N		Е	Н	М	S	N	(68)
14.	tra	affic control and supervision	(69)	Ε	Н	М	S	N		Ε	Н	М	S	N	(70)
15.	tra	affic accident investigation	(71)	Ε	Н	М	S	N		Е	Н	M	S	N	(72)
16.		ganization and operation of crime strike/ sk forces	(73)	Ε	Н	M	S	·N		Ε	Н	M	S	N	(74)
17.	ope	eration of breathalyzer	(75)	Ε	Н	М	S	N		Ε	Н	M	S	N	(76)
18.		llecting, synsethizing, and protecting cording information	(77)	Ε	Н	М	s	N		E	Н	M	S	N	(78)
19.	COI	nducting visual and audio surveillance	(79)	E	Ĥ	M	S	N		Ε	Ŧ	M	S	N	(80)

Positio	in Title Evidence Technician/Crime Scene Analyst				REC	JC UIR	B EME	NT:	F	ROF	ICII	ENC'	Y :
		Level required for capable performance					ed .	ne	vel wly rson	assi			
			Expe	High	Mode	Sylati	None		Hint	Mode	Sitate	None	7
20	 operation of agency computer terminal and how to access agency files for specific information 	(15)	E	Н	М	S	N	E	Н	М	S	N	(16)
21	. report preparation and departmental forms	(17)	Ε	Н	М	S	N	E	Н	М	S	N	(18)
22	. how to write a clear, concise, complete report	(19)	E	Н	М	S	N	E	Н	М	S	N	(20)
D. S	taff Services												
1	. community relations	(21)	E	Н	M	S	N	E	Н	М	S	N	(22)
2	relations with ethnic minorities	(23)	Е	Н	M	S	N	E	Н	М	S	N	(24)
3	. public education program	(25)	E	Н	М	S	N	E	Н	М	S	N	(26)
4	police media relations/role of the press/ release of information policies	(27)	E	Н	М	S	N	E	Н	М	S	N	(28)
Ę	departmental policies and procedures pertaining to the issues requiring formal legal interpretation	(29)	Ε	Н	М	S	N	E	Н	М	S	N	(30)
•	evidence gathering training needs and requirements	(31)	Ε	Н	М	S	N	E	Н	М	S	N	(32)
7	teaching methods/techniques/training	(33)	Ε	Н	М	S	N	E	Н	М	S	N	(34)
8	. use of training aids	(35)	Ε	Н	M	s	N	Ε	Н	М	S	N	(36)
E. /	Auxiliary and Technical Services												
1	 information available from and access to records processed and maintained by the department 	(37)	E	H	M	S	[*] N	E	Н	M	S	N	(38)
4	departmental communications capability, policies, use and procedures	(39)	E	Н	М	S	N	E	Н	М	s	N	(40)

Pos	ition	Title <u>Evidence Technician/Crime Scene Analys</u> t			1	evel for c	UIR rec capal			Le ne	vel wly rson	of t assi nel	ypic gned	al
				Expans	High	Wode.	Sligh	None		High	Mode	Slight	None	7
	3.	basic criminalistics/forensic science departmental physical evidence policies and procedures: identification, collection, preservation, chain of custody, analysis technical procedures, specific crime relationship, utility, limitations, disposal	(41)	E	Ĥ	M	S	N	E	Н		S	N	(42
	4.	crime scene activities: analysis, protection preparation of scale diagrams, equipment/technicians/services utilized	(43)	E	Н	М	S	N	E	Н	M	s	N	(44
	5.	police photography	(45)	E	Н	М	S	N	E	Н	М	S	N	(46
	6.	fingerprints - collection, preservation, classification, identification of preparation and use in law enforcement	(47)	Ε	Н	М	S	N	E	Н	м	S	N	(48
	7.	the capabilities of the crime laboratory and the value of laboratory analysis in the resolution of criminal cases	(49)	E	Н	M	S	N	E	н	М	S	N	(50
	8.	availability, use and maintenance of police supplies and equipment	(51)	E	Н	М	s	N	E	Н	М	S	N	(52
												مرابع المساورة والمساورة	٩	
			-2								والمستقدية والمستقدية والمستقدية والمستقدية والمستقدية والمستقدية والمستقدية والمستقدية والمستقدية والمستقدية			
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KNOWLEDGE CHECKLIST

Respondent's Position		
	Title	Location
Position to be rated:	Legal Advisor	7-1-1-1-1-1-1-1-1-1-1-1-1-1-1-1-1-1-1-1

This form will be used to provide information about the level of knowledge required by certain positions in the criminal justice field, and the level of knowledge normally found in newly hired personnel in those positions. The results will permit planning of further education and training programs to bring new employees up to full performance. Because of your familiarity with one of the positions under study, named in the box above, you have been selected to complete this form.

We would like you to tell us the level of knowledge that is required in order for an incumbent to function in a capable manner, with no more than the usual level of supervision provided for the job. Then we would like you to describe the level of knowledge that you have observed in personnel newly assigned to the position. Use the same scale, described below, to rate the job requirements and the proficiency level of newly hired personnel.

Expert: In-depth knowledge, including application of knowledge in unusual or complex situations.

<u>High Degree</u>: Highly knowledgeable. Can apply knowledge in some <u>unusual</u> or complex situations.

Moderate Degree: Has level of knowledge to perform acceptably in typical or usual situations.

<u>Slight Degree</u>: Has sufficient knowledge to function in only simple <u>or routine</u> situations.

None: Not required by job or learned by incumbent.

Circle one letter on the <u>Job Requirement</u> scale that you think best describes the level of knowledge required for capable performance in the position you are rating.

Circle one letter on the <u>Proficiency</u> scale that you think best describes the level of knowledge that a newly hired person usually brings to the job.

In many agencies new employees in this position receive academy or other formal training. If this training is required by this agency, consider the typical entry level worker to be rated on the Proficiency scale as an individual who has just completed such training.

If formal training is not required, rate the Proficiency of the typical employee newly assigned to the job.

Is formal training required by this Agency for this position?

Yes	No	

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KNOWLEDGE CHECKLIST

Page_____1

Positio	Position Title <u>Legal Advisor</u>					QUI	OB REMI													
		Level required for capable performance									newly assigned personnel									
				J. Joe L. H.	4611	C. Coerate	None		Expert	High	Moderate	Si ight	all a							
	lice responsibilities and environmental lationships		F				75		1			7								
1.	current criminal activities/trends	(15)	E	Н	M	S	N		Ξ	1 1	1 5	N	(16)							
2.	police authority and responsibility, rights, ethics and civil liability	(17)	E	Н	М	S	N		: 1	1 1	1 5	S N	(18)							
3.	history of police, role and function in a democratic society	(19)	Ε	Н	M	s	N	1	E 1	1 N	1 5	S N	(20)							
4.	background and philosophies of social control and justice	(21)	Ε	н	М	s	N			1 1	i s	N	(22)							
5.	criminal justice system/agencies/relations	(23)	Ε	Н	M	S	N	1		1 1	1 5	N	(24)							
6.	criminal/civil law definitions and procedures	(25)	E	Н	М	S	N	F	E I	1 1	I S	N	(26)							
7.	constitutional issues and trends, current/ recent judicial decisions	(27)	E	Н	М	S	N	E	: 1	{ M	I S	N	(28)							
8.	laws of evidence; court preparation, presentation, admissability	(29)	E	Н	М	S	N	E	: F	M	I S	N	(30)							
9.	local jurisdiction, laws and ordinances	(31)	E	Н	M	S	N	E	- - - -	M	S	N	(32)							
10.	preparation and execution/issuance/ processing of a warrant or subpoena	(33)	E	Н	М	s	N	E	 	M	S	N	(34)							
11.	citizen rights and complaints	(35)	E	Н	M	S	N	E	1	M	S	N	(36)							
12.	courtroom procedures, demeanor and presentation of testimony	(37)	Ε	Н	М	s	N	E	F	M	S	N	(38)							
13.	suspect identification by victim or witness, conducting criminal line-up	(39)	Ε	Н	M	S	N	E	H	M	S	N	(40)							
14.	confessions	(41)	Ε	Н	M	S	N	E	Н	M	S	N	(42)							
15.	police authority, rights and civil liability	(43)	Ε	Н	М	S	N	E	Н	M	s	N	(44)							
16.	police pressure groups, radical groups, dissidents, non-conformist cultures	(45)	Ε	Н	M	s	N	E	Н	М	s	N	(46)							
17.	contemporary social problems	(47)	E	Н	M	S	N	Ε	Н	M	S	N	(48)							
	_ ··· · · · · · · · · · · · · · · · · ·												-/-							

Po	Position Title <u>Legal Advisor</u>					REC		REM	NT:										
						Leve for perf	capa		ed	newly assigned personnel									
				Err	High	Work April	Sirate	Mone		Hich	Mod	Sligt	Mone	7					
В.	0rg	ganization and management						1											
•	1.	police organization, administration, and operations	(49)	E	Н	М	s	N	E	Н	М	S	N	(50)					
	2.	police labor relations, employee organizations, negotiating and collective bargaining	(51)	E	Н	М	s	N	E	Н	М	S	N	(52)					
	3.	departmental goals, objectives, activities, programs, and special projects	(53)	Е	Н	М	S	N	E	Н	М	S	N	(54)					
	4.	departmental structure, organization, policies, procedures and performance standards	(55)	E	н	M	S	N	E	Н	М	S	N	(56)					
	5.	written and oral communications	(57)	Е	Н	М	S	N	Ε	Н	М	S	N	(58)					
	6.	personnel administration: manpower needs, qualification requirements, position classification, career development, performance evaluation, civil service rules and regulations	(59)	E	Н	М	S	N	E		М	S	N	(60)					
	7.	human relations/group process	(61)	Е	Н	М	S	N	E	Н	М	S	N	(62)					
	8.	use of volunteers and/or para-professionals	(63)	E	Н	М	S	N	E	Н	-	S	N	(64)					
C.	Po	lice operations																	
	1.	criminal investigation policies, procedures, techniques and problems	(65)	Ε	Н	М	s	N	E	Н	М	s	N	(66)					
	2.	traffic administration; control, safety engineering	(67)	E	н	М	S	N	E	Н	М	S	N	(68)					
	3.	traffic direction, regulation, laws and ordinances	(69)	Ε	Н	М	s	N	E	н	М	S	N	(70)					
	4.	police tactical operations	(71)	Ε	Н	М	S	N	E	Н	М	S	N	(72)					
	5.	crowd/riot control	(73)	Ε	Н	M	S	N	E	Н	М	S	N	(74)					
	6.	major case-hostage situations/sniding situation-organization and operation of crime strike/task forces	(75)	Ε	Н	М	S	N	Ε	Н	М	S	N	(76)					

Positio	n Title Legal Advisor				REC Leve for perf	l re	ıb1e		<u>T:</u>	Le	PROPERSOR	of ass	typi	cal						
			£.,		// / / / / /						Expert High Moderate Slight									
/,	juvenile offenders, juvenile justice system and juvenile law	(77)	E	Н	M	s	N		Ε	Н	М	S	N	(78)						
8.	departmental policies and procedures pertaining to juveniles	(79)	Е	Н	М	s	N		E	Н	М	S	N	(80)						
9.	interviewing complainants, witnesses and suspects	(15)	E	Н	М	s	N		E	Н	М	S	N	(16)						
10.	collecting, synthesizing, protecting and recording information	(17)	E	Н	M	s	N		Ε	Н	М	S	N	(18)						
-11.	criminal jargon	(19)	Ε	Н	M	s	N		Ε	Н	М	S	N	(20)						
12.	information sources and informants	(21)	E	Н	М	S	N	\prod	Ε	Н	М	S	N	(22)						
13.	conducting visual and audio surveillance	(23)	E	Н	М	S	N		Ε	Н	М	S	N	(24)						
14.	operation of agency computer terminal and how to access agency files for specific information	(25)	E	Н	М	s	N		Ε	Н	М	S	N	(26)						
15.	report preparation and departmental forms	(27)	E	Н	М	S	N		Ε	Н	М	S	N	(28)						
16.	departmental policies and procedures pertaining to arrest and detention	(29)	Е	Н	М	s	N		Ε	н	М	s	N	(30)						
17.	prisoners-rights, transportation and safety, booking, and disposition of	(31)	Ε	Н	М	S	N		Ε	Н	М	S	N	(32)						
18.	hot pursuit and defensive driving techniques, policies and procedures	(33)	Ε	Н	M	S	N		Е	Н	М	S	N	(34)						
19.	use of physical force, lethal and non-lethal weapons	(35)	E	Н	M	S	N		Ε	н	M	s	N	(36)						
D. Sta	aff services																			
1.	community relations	(37)	E	Н	M	S	N		E	Н	M	S	N	(38)						
2.	relations with ethnic minorities	(39)	Е	Н	М	S	N	T	E	Н	М	S	N	(40)						
3.	public education program	(41)	Е	Н	М	S	N		Ε	Н	М	S	N	(42)						

Position Title Legal Advisor					REC		OB REM	ENT	IT: PROFICIENCY:									
					Leve for perf	capa	ble	ed	newly assigned personnel									
			Erm	Fig.	18 July 18 18 18 18 18 18 18 18 18 18 18 18 18	Sii	Mon	all /	$V_{X_{Dar}}$	High	Mode	Slice	None					
4.	police media relations/role of the press/ release of information policies	(43)	E	Н	М	S	N		Ε	Н	М	s	N	(44)				
5.	departmental policies and procedures pertaining to the issues requiring formal legal interpre- tation and to the rendering of legal advice and services by agency counsel	(45)	E	Н	М	S	N		Ε	н	М	S	N	(46)				
6.	laws pertaining to contractual agreements, collective bargaining, employment practices and class action suits	(47)	E	Н	М	S	N		E	н	М	S	N	(48)				
7.	procedures for preparation of litigation for defense of officers/department in civil suits	(49)	Ε	н	M	S	N		E	Н	М	S	N	(50)				
8.	factors involved in court dismissal actions	(51)	E	Н	М	S	N		Ε	Н	M	S	N	(52)				
9.	how to present department policy or plead department case as expert witness in court	(53)	E	н	М	S	N		E	Н	М	S	N	(54)				
10.	practices and methods of legal research	(55)	Ε	Н	М	S	N		Ε	Н	М	S	N	(56)				
11.	legal training needs and requirements	(57)	Ε	Н	М	S	N		E	Н	М	S	N	(58)				
12.	teaching methods/techniques/training resources used in instruction of police personnel	(59)	E	Н	М	S	N		E	Н	М	S	N	(60)				
13.	use of training aids	(61)	Ε	Н	М	S	N		E	Н	M	S	N	(62)				
E. Au	xiliary and technical services	·																
1.	records processed and maintained by the department	(63)	E	Н	M	S	N		Ε	Н	M	S	N	(64)				
2.	departmental communications capability, policies, use and procedures	(65)	Ε	Н	М	S	N		Е	Н	М	S	N	(66)				
3.	departmental physical evidence policies and procedures: identification, collection, preservation, chain of custody, analysis technical procedures, specific crime relationship, utility, limitations, disposal	(67)	Е	Н	М	S	N		E	Н	M	S	N	(68)				
4.	availability, use and maintenance of police supplies and equipment	(69)	E	Н	M	S	N		E	Н	М	S	N	(70)				

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KNOWLEDGE CHECKLIST

Respondent's Position		
	Title	Location
Position to be rated:	Police Planner	t de la companya de la companya de la separta de la companya de persona de la companya de la companya de la co

This form will be used to provide information about the level of knowledge required by certain positions in the criminal justice field, and the level of knowledge normally found in newly hired personnel in those positions. The results will permit planning of further education and training programs to bring new employees up to full performance. Because of your familiarity with one of the positions under study, named in the box above, you have been selected to complete this form.

We would like you to tell us the level of knowledge that is required in order for an incumbent to function in a capable manner, with no more than the usual level of supervision provided for the job. Then we would like you to describe the level of knowledge that you have observed in personnel newly assigned to the position. Use the same scale, described below, to rate the job requirements and the proficiency level of newly hired personnel.

- 4 = Expert: In-depth knowledge, including application of knowledge in unusual or complex situations.
- 3 = <u>High Degree</u>: Highly knowledgeable. Can apply knowledge in some unusual or complex situations.
- $2 = \frac{\text{Moderate Degree:}}{\text{typical or usual situations.}}$ Has level of knowledge to perform acceptably in
- 1 = <u>Slight Degree</u>: Has sufficient knowledge to function in only simple or routine situations.
- 0 = None: Not required by job or learned by incumbent.

Circle one letter on the <u>Job Requirement</u> scale that you think best describes the level of knowledge required for capable performance in the position you are rating.

Circle one letter on the <u>Proficiency</u> scale that you think best describes the level of knowledge that a newly hired person usually brings to the job.

In many agencies new employees in this position receive academy or other formal training. If this training is required by this agency, consider the typical entry level worker to be rated on the Proficiency scale as an individual who has just completed such training.

If formal training is not required, rate the Proficiency of the typical employee newly assigned to the job.

Is formal training required by this Agency for this position?

Yes	· ·	No	
			•

OMB# 043-S-75013 Exp. 7/31/76 LEAA (3600-H)

KNOWLEDGE CHECKLIST

Positio	on Title Police Planner				RE		OB REM	IEN	T:	1	PRO	FICI	ENC	Y:
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	•			Jager 1	5 / S	Siz	1,19ht	/ euo/		His	5/2	Si	Mon	
	lice responsibilities and environmental lationships		F						<u> </u>		/ ~	/ 5	/ =	
1.	uniform crime reporting system/measurement of crime	(15)	E	Н	М	S	N		Ε	Н	М	S	N	(16)
2.	current criminal activities/trends	(17)	Ε	Н	М	S	N		E	Н	М	S	N	(18)
3.	police authority and responsibility, rights, ethics and civil liability	(19)	Е	Н	М	s	N		E	Н	М	s	N	(20)
4.	history of police; role and function in a democratic society	(21)	E	Н	М	s	N		E	Н	М	S	N	(22)
5.	criminal justice system/agencies/relations	(23)	E	Н	М	S	N		Е	Н	М	S	N	(24)
6.	criminal/civil law definitions, and procedures	(25)	E	Н	М	s	N		Ε	Н	М	S	N	(26)
7.	constitutional issues and trends, current/recent judicial decisions	(27)	Ε	Н	М	S	N		Е	Н	М	S	N	(28)
8.	local jurisdiction, laws and ordinances	(29)	Ε	Н	М	S	N		Е	Н	М	S	N	(30)
9.	preparation, execution, issuance, processing of a warrant or subpoena	(31)	E	Н	М	S	N		E	н	М	S	N	(32)
10.	police authority, rights and civil liability	(33)	Ε	Н	М	S	N		E	Н	М	S	N	(34)
11.	police pressure groups, radical groups, dissidents, non-conformist cultures	(35)	Ε	Н	М	S	N		Е	Н	М	S	N	(36)
12.	contemporary social problems	(37)	Ε	Н	M	S	N		E	Н	М	S	N	(38)
13.	community needs and resources	(39)	Ε	Н	М	S	N		Ε	Н	М	S	N	(40)
B. Or	ganization and management													
1.	<pre>police organization, administration, and operations</pre>	(41)	Ε	Н	М	s	N		E	Н	М	S	N	(42)
2.	needs assessment, resource allocation and utilization	(43)	E	Н	М	S	N		E	Н	М	S	N	(44)
	Company of the compan													

Positio				RE	_	OB REM	EN	T:		PRO	FICI	N N N N N N N N N N N N N N N N N N N		
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			F. F.		45/4	Siz	None	e /		High	Mod	Slicite	Nonc	7
3.	fiscal management, budgets, funding priorities, evaluation and control	(45)	E	Н	М	S	N		E	Н	М	S		(46)
4.	planning and decision making	(47)	Ε	Н	М	S	N		Е	Н	M	S	N	(48)
5.	data processing and application of computer science to agency management and operations	(49)	Ε	Н	М	S	N		E	Н	М	S	N	(50)
6.	motivation, morale, and police productivity	(51)	E	Н	М	S	N		E	Н	М	S	N	(52)
7.	departmental goals, objectives, activities, programs, and special projects	, (53)	E	Н	М	s	N		Ε	Н	М	S	N	(54)
8.	departmental, structure, organization, policies, procedures, and performance standards	(55)	E	Н	М	S	N		E	Н	М	S	N	(56)
9.	written and oral communications	(57)	E	Н	M	S	N		—— Е	Н	М	S	N	(58)
10.	personnel administration: manpower needs, qualification, requirements, position classification, career development	(59)	E	Н	M	S	N		E	Н	М	S	N	(60)
11.	performance evaluation, civil service rules and regulations	(61)	Ε	Н	M	S	N		Е	Н	М	S	N	(62)
12.	human relations/group process	(63)	E	Н	М	s	N		Е	Н	М	S	N	(64)
13.	use of volunteers and/or para-professionals	(65)	E	Н	М	S	N		Е	Н	М	S	N	(66)
C. Po	lice operations													
1.	patrol administration, policies, procedures, techniques, problems	(67)	E	Н	M	S	N		E	Н	M	S	N	(68)
2.	criminal investigation policies, procedures, techniques and problems	(69)	Ε	Н	М	S	N		E	Н	M	S	N	(70)
3.	traffic administration, control, safety, engineering	(71)	E	Н	М	S	N		Ε	Н	М	s	N	(72)
4.	police tactical operations	(73)	Ε	Н	М	S	N		E	Н	М	S	N	(74)
5.	organization and operation of crime strike/task forces	(75)	Е	Н	M	s	N		E	Н	М	s	N	(76)
	The state of the s							_				لمنسب		

KNOWLEDGE CHECKLIST

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Positio	n Title Police Planner				REC		OB REMI	EN	T:	F	ROP	FICI	ENC	Y:
		Level required for capable performance					Level of typical newly assigned personnel							
			Ern	High	Mod	Si	Nong	· /	$F_{k_{Dol}}$		Mode	Slice	None	7
6.	criminal behavior/crime patterns/potential criminal targets	(77)	E E	/ ≨ H	/ <i>≹</i>	S	N N		E E	/ ₹	M M	S	/ ¾ N	(78)
7.	juvenile offenders, juvenile justice system and juvenile laws	(79)	E	Н	М	S	N		E	Н	М	S	N	(80)
8.	collecting, synsethizing, protecting and recording information	(15)	Ε	Н	М	S	N		E	Н	М	S	N	(16)
9.	operation of agency computer terminal and how to access agency files for specific information	(17)	Ε	Н	М	S	N		E	Н	М	S	N	(18)
10.	departmental policies and procedures pertaining to report preparation and departmental forms	(19)	E	Н	М	S	N		Ε	Н	М	S	N	(20)
D. Sta	aff services													
1.	principles, practices and procedures for long- and short-range planning	(21)	Ε	Н	М	S	N		Ε	Н	М	S	N	(22)
2.	research, evaluation and systems analysis methodologies	(23)	E	Н	М	S	N		E	H	М	S	N	(24)
3.	elementary statistics and data: compilation, analysis, synthesis and interpretation	(25)	E	Н	М	s	N		Ε	Н	М	S	N	(26)
4.	crime analysis	(27)	Ε	Н	М	S	N		Ε	Н	М	S	N	(28)
5.	how to prepare requests for outside funding, e.g., federal or non-public grants	(29)	Ε	Н	М	s	N		Е	Н	М	S	N	(30)
6.	public community relations	(31)	E	Н	М	S	N		Ε	Н	М	S	N	(32)
7.	relations with ethnic minorities	(33)	E	Н	М	S	N		Е	Н	М	S	N	(34)
8.	public education programs	(35)	E	Н	М	S	N		Ε	Н	М	S	N	(36)
9.	police media relations/role of the press/ release of information policies	(37)	Ε	Н	M	S	N		Ε	Н	М	S	N	(38)
10.	issues requiring formal legal interpretation	(39)	Ε	Н	М	S	N		Ε	Н	М	S	N	(40)
11.	legal advice and services by agency counsel	(41)	E	Н	М	S	N		Е	Н	М	S	N	(42)
12.	training needs, policies, and requirements	(43)	Ε	Н	М	S	N		Ε	Н	M	S	N	(44)

KNOWLEDGE CHECKLIST

Page 4

Position Title Police Planner REQUIREME Level require for capable performance				EME quire cle								
		Expan	- 				The state of the s	- 7		Siloh	None	7
13. teaching methods/techniques/training resources used in instruction of police personnel	(45)	E	Н	М		N	E	Н		S	N o	(46
14. topical research and preparation of lesson plans	(47)	E	H	M	S	N	E	Н	М	s	N	(48
15. use of training aids	(49)	E	Н	М	S	N	E	Н	M	S	N	(50
16. minimum state standards for police training	(51)	E	Н	М	s	N	E	Н	М	S	Ņ	(52
E. Auxiliary and technical services												
 records processed and maintained by the department 	(53)	E	Н	М	S	N	E	Н	M	S	, N	(54
 departmental communications capability, policies, use and procedures 	(55)	E	Н	М	S	N	E	Н	M	S	N	(58
 procurement and maintenance of police supplies and equipment 	(57)	E	Н	М	S	N	E	Н	M	S	N	(58
	i.											

LAW ENFORCEMENT AGENCY REPORT FORM

This form asks for certain information about this law enforcement agency. Since the form is designed to be used with various sizes and types of law enforcement agencies, you may find that some of the information asked for is not relevant to you. Provide only the information that is pertinent to your agency.

Name of Law Er	nforcement Agency		
Address:			
	Street		
· · · · · · · · · · · · · · · · · · ·	City	State	Zip Code
Individual to tion of repor		chis survey (person coordi	inating comple-
Position:			
Telephone Num	ber:		

A-1.	Population figures covering total number in your jurisdiction.					
A-2.	Square miles of the geographical area covered by your jurisdiction.					
A-3.	Which of the following alternatives best characterizes the local government structure in your city or county? (If yours is a state policy agency, do not answer this question.) (Check only one.)					
	a. Weak mayor-council government					
	b. Strong mayor-council government					
	c. Mayor-appointed chief administrative officer government					
	dCouncil-manager government					
	eCommission government					
	fOther (Please describe.)					
A-4.	Which of the following best describes your jurisdiction? (If yours is a state police agency, do not answer this question.) (Check only one.) aCentral city within a metropolitan area bSuburban area within a metropolitan area, outside central city cUrban area within a metropolitan area, outside central city dRural area within a metropolitan area, outside central city e. Urban area in non-metropolitan area					
	f. Rural area in non-metropolitan area					
A-5.	Which of the following functions are currently performed by your agency? aPatrol bCriminal investigations cTraffic law enforcement and control dEmergency communications (receipt and dispatch of calls for					

	eCrime laboratory analysis of evidence
	<pre>fOperation of short-term detention facility, e.g., lock-up</pre>
	g. Operation of longer-term detention facility, e.g. jail
	<pre>hProvision of formal entry-level training</pre>
	iProvision of formal in-service training
	jPersonnel
	kRecords and ID
	1. Planning and research
	mEquipment maintenance
	mData processing
	oLegal counsel
	pPublic/community relations
	qMotor vehicle licensing and inspection
	rJuvenile services
	sEmergency ambulance service
	tVehicle towing
	uCivil process serving
A-6.	For the previous fiscal or calendar year (fill in appropriate dates), 19, 19,
	how many reported offenses were
	Part I?
	Part II?
	how many arrests were made for
	Part I offenses?
	Part II offenses?
A-7.	For the previous fiscal or calendar year (fill in appropriate dates), 19, 19,
	how many traffic summonses were issued?
	how many traffic related arrests were made?
	how many traffic accidents were investigated?
A-8.	For the previous fiscal or calendar year (fill in appropriate dates), 19 to, 19 how many calls
	for service were received?

Section B. Agency Budget Information

		(Fill in appropria	
B-1.	What is your agency's TOTAL budget appropriation?	\$	
	a. How much for salaries and fringe?	\$	
	b. How much for other operating?	\$	· · · · · · · · · · · · · · · · · · ·
	c. How much for capital expenditure?	\$	
B-2.	What is your agency's budget for TRA	INING? \$	
	a. Which of the following costs are included in your agency's training budget? Include amounts if avail	g able.	
	Salary and fringe of train	ning staff \$	
	Cost of outside training	\$	
	Salary and fringe of trai	nees \$	
	Purchase of supplies and materials	\$	
	Capital expenditures for	training \$	
	b. Which of the following types of t are funded by your agency's train budget? Include amounts if avail	ing	
	entry-level training for personnel	sworn \$	
	in-service training for s	worri \$	
	supervisory and managemen training	t	
	entry-level training or o tion for nonsworn per		
	entry-level training or o tion for paraprofessi e.g. cadets, aides, c service officers, sch	onals; ommunity	
	crossing guards	\$	49
	other; please specify		
		<u> </u>	**************************************
		<u> </u>	
		\$	

	Local governmental unit	\$.
	State governmental agencies.	
	Please specify which and include amount of funding.	
		\$
		\$
		\$
	Federal governmental agencies. Please specify which and include amount of funding.	
		\$
		\$
		\$
		\$
	organizations, e.g. Police Foundation. Please specify which and include amount of funding.	•
		ф
		Ф <u></u>
	Other, please specify which and include amount of funding.	Ψ
		\$
		\$
		\$
4.	What percentage of your agency's budget is committed to manpower related costs?	
5.	funding for these manpower related costs for the current fiscal year? PLease specify and	·
	include amounts.	
	Local governmental unit	\$
		\$

.

R-0*	is committed to training costs?	_%
B-7.	From what sources is your agency receiving funding for these training costs for the current fiscal year? Please specify and include amounts.	
	Local governmental unit	\$
	Other, please specify	
		\$
		\$
		\$
		\$

Section C. Employment in the Agency

For purposes of this survey, the key occupations in law enforcement are described here. Information about these key occupations is requested in this Section and Section D. Since not all key occupations may be relevant to this specific agency, provide information only on those that are.

Police Executive:

chief, director, assistant chiefs and deputy chiefs

Police Mid-Level Manager:

sworn officials above the rank of sergeant and below the rank of assistant or deputy chief

Patrol Line Supervisor:

first level supervisors including sergeants and corporals assigned to supervise patrol duties

Patrol Officer:

basic level sworn position including officers with titles such as "Patrolmen," "privates," "troopers," and "agents"

Traffic Officer:

basic level sworn police officers assigned primarily to traffic duties

Traffic 1st Level Supervisor:

first level supervisors of officers assigned primarily to traffic duties if traffic division is separate from patrol division

Detective/Criminal Investigator:

basic level sworn position assigned to criminal investigations

Investigative Services Line Supervisor:

first level supervisors of detectives/criminal investigators

Police Legal Advisor:

attorneys who provide legal assistance to the agency

Police Planner:

agency personnel formally involved in the planning process

Evidence Technician/Crime Scene Analyst:

personnel responsible for the location, collection, and preservation of physical evidence at crime scenes

C-1. This chart deals with full time employment for the entire agency and for the key law enforcement occupations for the 1973-76 period. How many personnel were employed full time by the agency at the end of each fiscal or calendar year? (Fill in appropriate dates below.)

	, 1973	, 1974	, 1975	, 1976@
Total Agency Staff				
Total Sworn Officers (including supervisors)				
Police Executives				
Police Mid-level Managers				
Patrol Line Supervisors				
Patrol Officers				
Traffic Officers(if separate from patrol division)				
Traffic First Level Supervisors(if separate from patrol division)				
Investigative Services Line Supervisors				
Detective/Criminal Investigators				
Police Legal Advisors				
Police Planners				
#Evidence Technician/ Crime Scene Analysts			·	

@Projected estimates of staff employed.

NOTE: For any key occupation that is not included in the agency, write N/A (Not Applicable) in the 1st empty space in the row for that job.

IF SPECIFIC EMPLOYMENT INFORMATION IS NOT AVAILABLE FOR ANY OF THE DATES REQUESTED, PLEASE INCLUDE ESTIMATES. STAR (*) ALL ESTIMATES.

#Please indicate number of persons who perform this specialized function. If not fulltime, indicate other functions they perform, e.g., patrol.

C-2. How many police personnel in your agency are assigned to each of following police activities?					
			No. of Total Personne	No. of Sworn	No. of Nonsworn Personnel
	Administrative Function research, personnel, spection, community	training, in-			
	Patrol (i.e., walk, mor	tor, tactical)			
•.	Traffic (i.e., enforcer education, etc.)	ment, safety			
	Criminal Investigation homicide, robbery, pronarcotics, etc.)		-		
	Juvenile				
	Auxiliary Functions, (cations, records, idealaboratory, etc.)	i.e. communi- entification,			
	Total				****
C-3.	Number of new hires and	d separations of	sworn and	i nonsworn p	ersonnel.
	Considering the total pour agency, please provide rations:				
		Sworn Person	nel	Nonsworn	Personnel
		Fiscal or Calend Years ending as		Fiscal or Years endi	
		,1973	,1974	,1973	,1974
a. No	ew Hires			-	
b. To	otal Separations				
c.	-Voluntary Resignations				
d.	-Retirements				
e.	-All other separations				
	Has your agency made a s years?Yes	tudy of personnel No	turnove	r during the	last five
	If so, can a copy be mad	e available?	Ye	s No	
-	What are the most curren turnover rates in your a		orn and	nonsworn per	sonnel
	sworn%	Rate:			•
	nonsworn%	Rate:			

N.

	amariana managaman If are		trends for sworn and
re	onsworn personnel. If ava ates for the past five yea	ars:	
		Estimated Sworn Personnel	Turnover Rates Nonsworn Personnel
_		Sworn Fersonner	Nonsworn rersonner
_	975, to date		
-	974		
_	973		
	972		
-	971		
1	970		
4.	a. What are the monthly officers in your agen	starting and maximum : cy?	salaries for patrol
	Monthly <u>st</u>	arting salary: \$	
	Monthly <u>ma</u>	ximum salary: \$	
	b. How many years of ser maximum salary level?	vice are normally req	uired to attain the
5.	Of those persons hired for which they were hire	previous experience	ring 1973 and 1974, a in jobs similar to th
	1973:	%	
	1974:	<u> </u>	
_	Does your agency have a	conarate research and	nlanning unit?
_	bues your agency have a	separace research and	pranting airror

Section D. Recruitment and Selection

D-1. This chart deals with whether three of the nine law enforcement key occupations described in Section C are entry-level and have minimum educational requirements for employment. Please complete this chart for your agency. Check (\checkmark) N/A if an occupation is not included in your agency.

	Patrol Officer	Police Planner []N/A*	Evidence Technician					
Is position entry-level?	☐Yes ☐ No	□Yes □No	□Yes □No					
Where do personnel filling these positions come from? Check (✓) all relevant categories.	□New Hires □Transfers □Promotions	□New Hires □Transfers □Promotions	□New Hires □Transfers □Promotions					
Is there minimum education requirement?	□Yes □ No	□Yes □No	□Yes □No					
If Yes, please list education requirement (for example, high school diploma or G.E.D., bachelor's degree).								
type examination that may in and oral tests? Yes No. If Yes, go on to D-3. I. D-3. Please complete the following	type examination that may include such components as written, physical and oral tests? YesNo YesNo Yes, go on to D-3. If No, go on to Section E.							
Number of applicants	•							
Was qualified list current YesNo		1975?						
•	ired as of June 3 were still on the		e 30. 1975?					
If No when did list exp how many were hi	oire?		_					

Section E. Employee Representation

E-1.	Sworn Personnel.				
	represented by an				
	recognized as col	lective bar	gaining agent	(s) for cert	tain categories
	of personnel?				

Yes	No

If so, please (1) identify each such organization, (2) indicate the categories of personnel represented by each (e.g., basic level police officers, patrol officers, detectives, first level supervisors, or specific ranks), and (3) provide an estimated percentage of the number of personnel represented by each organization who are members:

Sworn Personnel Represented by Employee Organization(s)

Name of Organization(s)	Categories of Personnel Represented	Estimated Percentage of Represented Personnel Who are Members			
1.		%			
2.		%			
3.		%			

E-2. Non-sworn Personnel. Are some or all of your agency's nonsworn personnel represented by an employee organization(s) which is (are) formally recognized as collective bargaining agent(s) for certain categories of personnel?

Nonsworn Personnel Represented by Employee Organization(s)

Name of Organization(s)	Categories of Personnel Represented	Estimates Percentage of Represented Personnel Who are Members		
1.		%		
2.		%		
3.		%		

Section F. Representation of	f Women	and	Minorities
-------------------------------------	---------	-----	------------

F-1.	What percentages of sworn police positions are/were fille now and three years ago in 1972?	d by <u>women</u>
	1972	1975
		%
	% all higher ranks	%
	% all sworn positions	%
F-2.	What percentages of sworn police positions are/were fille now and three years ago in 1972?	d by <u>minorities</u>
	1972	1975
	% basic level positions	%
		o/ /o
	% all sworn positions	<u>%</u>
F-3.	What percentage of <u>all nonsworn</u> police positions are/were <u>women</u> now and three years ago in 1972?	filled by
	1972	1975
	% all nonsworn positions	%
		·
F-4.	What percentage of <u>all nonsworn</u> police positions are/were <u>minorities</u> now and three years ago in 1972?	filled by
	1972	1975
	% all nonsworn positions	<u>%</u>
		•

Additional Information Needed

In order to help us complete the National Manpower Survey, it would be most helpful if we could get some additional information about this agency. If possible and if available, would you please include the following information with the completed survey form.

- *A copy of the most recent staffing table/organization chart
- *A copy of the most recent Annual Report.
- *Copies of the above for any year close to 1970.

Please return the completed survey form and the information listed above to:

American Institutes for Research National Manpower Survey 3301 New Mexico Avenue, N.W. Washington, D.C. 20016

Attn: L.O. Richardson
National LE/CJ Manpower Survey

EXECUTIVE INTERVIEW FOR AGENCY ADMINISTRATORS

Tit	le
Loca	ation
	e introduction, describing goals of study, reason for agency selection, purpose of this interview.
1.	In your judgment, do you now have any critical manpower shortages?
	() Yes () No (Go to Question 8)
2.	In what personnel categories do you have shortages? (Probe especially for the key occupational categories.)

3.	Which	of the following conditions characterizes these shortages? (Check as many as apply)
	(Present staffing levels are below optimum levels*
	(Present staffing levels are below authorized levels
	(Present staffing levels are below the absolutely minimal levels necessary for adequate service to the public
	(All the above*
	*If ch	ecked, ask what the optimum level would be in his/her opinion.
4.	How To	ng have these shortages existed?
	Since	9
5.	What a budget	re the causes of these shortages? (Probe re increasing work load cutbacks, turnover, etc.)

6. What effects within and outside your agency have these shortages had? (Probe re cutbacks in services, community dissatisfaction, staff morale, curtailment of training activities, etc.)

7.	Are there any current efforts to reduce these shortages?
	() No
	() Yes. What?
	ı
8.	Do you predict critical manpower shortages in your agency five years from now? (Check as many as apply.)
	() Yes*
	() Yes, present shortages will continue
	() Yes, present shortages will even worsen
	() Yes, new shortages will arise
	() No
	*Specify the occupations where shortages will arise.
9.	What is the basis for your prediction?

10.	In y than	our th	opinio ose ent	on, are cering f	personne ive year	el hired rs ago?	at the	entry	level	better	qualified
	()	Better	· (Probe	re reas	sons)					
	((Probe							
11.	Are	the	re any	critica	l train	ing needs	in yo	our age	ncy?		
	()	Yes (F	Probe re	detail	s)					
	, ()	No								

ı

8

12. Do you think the work of this agency will change within the next five years?() Yes (Probe re changes in role, functions, etc.)() No

13. If you were to receive a 10% increase in your annual budget for the next fiscal or calendar year and could spend it however you chose, how would you spend it?

	and education. Do yo the way these dollars	ou think the	payoff could be		
	() Yes () No				
	-GIVE AGE	ENCY ACTIVITY	PROFILE HERE-		
15.	Of these activities (the most important ir counterforces affecti	n the next 10) years? (Probe	h do you thi re reasons	nk will be and forces/
	(If time permits, use the planning intervie	appropriate ew.)	forces and count	erforces que	stions ("om
				:}	

National Manpower Survey ACTIVITIES CHECKLIST

A number of trends, activities, or experimental programs have been tried in the law enforcement and criminal justice field in recent years. We would like your opinions on whether some of these things are being done or should be done at your agency. Use the scale shown below to answer the questions about the various activities described.

- l = Yes. Will definitely continue to do this
- 2 = Yes. Will continue to do this if funds are available.
- 3 = Yes, but uncertain whether we will continue to do this.
- 4 = Not yet, but plan to do this in the near future
- 5 = No. Would like to do this but have not been able to.
- 6 = No. No plans to do this. Uncertain of the value.
- 7 = No. Have tried it and dropped it.
- 8 = No. It is not suitable here.
- 9 = Don't know anything about it.

We are also interested in probable changes. During the next five years, what can you realistically expect?

- +3 = Increased activity will be dramatically more than it is now
- +2 = Increased activity will be somewhat more than the increase in workload
- +1 = Increased activity will be proportional to workload increases
- 0 = No increase in activity of this type is expected, even if the workload increases
- -1 = There will be a mild decrease in activity of this type
- -2 = There will be a considerable decrease in activity of this type
- -3 = Activity of this type will be dropped

		e e je e state e ew		
	*			
	•			
	.•			
0 0				
	e e			
			المنط أناف والمرازية	

CONTINUED

13 OF 19

Activities List for Law Enforcement

Does	this agency have or use:	Probability Rating	5-year Change Rating	Notes
8.	Planning/research activities?			
9.	Pagionalization on moding of nolice convices /o.g. contralization of		-torreson torresons on	
5.	Regionalization or pooling of police services (e.g. centralization of staff services or multi-jurisdictional investigative units)?			
10.	Consolidation of police services with other agencies or departments?			
	· · · · · · · · · · · · · · · · · · ·			
*11.	Paraprofessionals (e.g., police aides or community service officers)?			
	•			
<u></u>				
12.	Formal career development program?			
13.	Career progression patterns which differ from traditional paths?			
*14.	Variations in entry level pay differentials based upon the applicant's level of education?			
		<u> </u>		

),	Activities List for E	w Enforcement		
Does	this agency have or use:	Probability Rating	5-year Change Rating	Notes
*15.	Pay incentives for officers who attain higher levels of education?			
*16.	Higher entry-level educational <u>requirements</u> (higher than high school) or G.E.D.)?			
*17.	Police cadet programs?			
*18.	Collective bargaining units?			
19.	Higher entry level jobs or pay differentials for those with prior police experience (i.e., lateral entry)?			
*20.	Computerized analysis of crime data and criminal information retrieval?			
*21.	Officers or civilians who specialize in juvenile problems?		V · · · · · · · · · · · · · · · · · · ·	

Does this agency have or use:	Probability Rating	5-year Change Rating	Notes
22. Formal diversion programs for adults?			,
23. Formal diversion programs for juveniles?			
	·		
24. Police-community relations programs?			
25. Community crime prevention programs?			
26. Systematic long range plans based upon data collection and analysis?			
*27. Preservice training activities?			
*28. In-service training activities?		The second secon	· ·
		ī	

Does this agency have or use:

Probability Rating

Outside consultants who conduct in-service training or development programs?

Notes

1. 30. Liaison and coordination with local public welfare agencies?

31. Consultations with prosecuting attorney's office?

32. Appearances in court and performance of court related duties?

Law Enforcement Variable/Innovation Interview Guide

VARIABLE/INNOVATION: FORMATION OF EMPLOYEE ASSOCIATIONS

DESCRIPTION: Police unions and employee associations have had and will continue to have an influence upon the law enforcement system. For the purposes of the NMS, our inquiry focuses on collective bargaining units of sworn and nonsworn personnel.

INTERVIEWEES:

- Chief Executives
- Mid-Level Managers
- Personnel Department
- Training Department

OUESTIONS:

(Note: Answers to questions 1 and 6 may already be available from Agency Report Form - Section E.)

1. ARE ANY OF YOUR SWORN PERSONNEL REPRESENTED BY COLLECTIVE BARGAINING UNITS?

()	Yes	;			
()	No	(Go	to	question	6)

2. WHICH IF ANY OF THESE UNITS WAS ESTABLISHED WITHIN THE LAST THREE YEARS?

()	None.	All	before	1972	
()	Some	(spec	ify whi	ch ones	below)

3. FOR THOSE UNITS ESTABLISHED WITHIN THE LAST THREE YEARS, WHAT FACTORS LED TO THEIR FORMATION?

4.	HAVE COLLECTIVE IMPACT UPON ANY	BARGAINING UNITS FOR SWORN PERSONNEL HAD A SIGNIFICANT AREAS OF PERSONNEL MANAGEMENT?
	()	Yes
	•	No (Go to question 6)
5.	WHICH ONES OF TH	HE FOLLOWING AREAS WERE AFFECTED, AND HOW?
	()	hiring standards
	()	promotion standards
	()	work scheduling, e.g., additional shift during high crime period
	()	staffing capabilities, e.g., one vs. two officer patrol cars
	()	recruit training
	()	in-service training and continuing education
	()	retention
	()	other (specify)
6.	ARE ANY OF YOUR UNITS?	NONSWORN PERSONNEL REPRESENTED BY COLLECTIVE BARGAINING
	{ }	Yes No (Go to question 11)

7.	WHICH IF ANY OF THESE UNITS WAS ESTABLISHED WITHIN THE LAST THREE YEARS?
	() None, all before 1972() Some (specify which ones below)
8.	FOR THOSE UNITS ESTABLISHED WITHIN THE LAST THREE YEARS, WHAT FACTORS LED TO THEIR FORMATION?
9.	HAVE COLLECTIVE BARGAINING UNITS FOR NONSWORN PERSONNEL HAD A SIGNIFICANT IMPACT UPON ANY AREAS OF PERSONNEL MANAGEMENT? () Yes
	() No (Go to question 11)
10.	WHICH ONES OF THE FOLLOWING AREAS WERE AFFECTED, AND HOW?
	<pre>() hiring standards () promotion standards () work scheduling () staffing capabilities () training () retention () other (specify) (Use space below for description of the effects of the areas checked above.)</pre>
	areas checked above.

12. ARE THERE EMPLOYEE ASSOCIATIONS WITHIN YOUR AGENCY WHICH REPRESENT EMPLOYEES BUT ARE NOT FORMALLY RECOGNIZED AS COLLECTIVE BARGAINING	UNITS?
() Yes (Describe below)	
() No (Go to question 15)	
13. HAVE THESE EMPLOYEE ASSOCIATIONS HAD A SIGNIFICANT IMPACT UPON ANY OF PERSONNEL MANAGEMENT?	AREAS
() Yes	
() No (Go to question 15)	

.

1

14.	WHICH	ONES OF	THE FOLLOWING AREAS WERE AFFECTED AND HOW?
		() hiring standards
		() promotion standards
		() work scheduling
		() staffing capabilities
		() recruit training
		() in-service training and continuing education
		() retention
		() other (specify)
			(Use space below for description of the effects in each of the areas checked above)

15. WHAT DO YOU THINK WILL BE THE STATUS OF EMPLOYEE ASSOCIATIONS IN YOUR AGENCY WITHIN THE NEXT FIVE YEARS?

Law Enforcement Variable/Innovation Interview Guide

VARIABLE/INNOVATION: INNOVATIVE POLICING STRATEGIES

DESCRIPTION: A number of police agencies have attempted to improve their delivery of police services to the community by experimenting with innovative policing strategies. For purposes of the NMS, our inquiry will focus on innovative policing strategies designed to decentralize operational authority and responsibility and/or expand the role of basic level police officers and encourage more active involvement of the public in preventing and solving crimes. Specific examples include:

- Team policing
- "Directed" patrol
- "Community-oriented" policing
- Teaming investigators with patrol officers
- Reinstituting foot beats

INTERVIEWEES:

- Chief Executives
- Mid-Level Managers
- Personnel Department
- Training Department

OUESTIONS:

DURING THE PAST THREE YEARS, HAS YOUR AGENCY IMPLEMENTED ANY INNOVATIVE POLICING STRATEGIES DESIGNED TO DECENTRALIZE OPERATIONAL AUTHORITY AND RESPONSIBILITY AND/OR EXPAND THE ROLE OF BASIC LEVEL POLICE OFFICERS AND ENCOURAGE MORE ACTIVE INVOLVEMENT OF THE PUBLIC IN PREVENTING AND SOLVING CRIMES?

[Relevant examples might be cited to ensure that the interviewee understands the question: team policing; "directed" patrol; "community-oriented" policing; teaming investigators with patrol officers; or reinstituting foot beats.]

Yes - continue to questions 2 thru 9.

No - skip to question 10.

2. PLEASE BRIEFLY DESCRIBE THE INNOVATIVE POLICING STRATEGY IMPLEMENTED BY YOUR AGENCY.

[It is critically important the innovative strategy be described accurately and in sufficient detail so as to be understandable to a reader with minimum subject matter knowledge. Each of the following seven questions (3 thru 9) will be asked regarding the innovative strategy. It is important that all questions be answered. Ask for copies of written material that might be available which describes specific innovative strategies.]

WHAT LED YOUR AGENCY TO IMPLEMENT THIS INNOVATIVE POLICING STRATEGY?

Probe re:

- a. When it was implemented.
- b. Whether it was first implemented as an experimental project on a limited basis and later expanded, or, if not yet expanded, what the likelihood is of it being expanded further and when this might occur.
- c. Forces and counterforces (positive and negative influences) encountered during the decision-making and implementation processes.
- d. Problems solved as well as those which might have been created.
- e. Whether such an innovative strategy was implemented and subsequently discontinued or revised significantly. If so, collect information regarding the circumstance and why this occurred. (Cessation of funding from external sources might be a good example.)
- f. Where the funds to support implementation of the innovative strategy derived from and how much the innovation cost. (Be sure to include personnel costs as well as equipment costs. Determine amount of funding from each source, including agency budget if local funds were committed.) If funds were from external sources such as LEAA or Police Foundation, ascertain what the likelihood is of the innovative strategy being continued or expanded after cessation of outside funding.
- 4. HOW HAS THIS INNOVATIVE POLICING STRATEGY AFFECTED YOUR AGENCY'S WORKLOAD, MANPOWER NEEDS, AND STAFF DISTRIBUTION?

Probe re:

a. Number and types of personnel affected (especially insofar as the key occupations are concerned; it is also important to distinguish between sworn and nonsworn personnel).

- b. How these personnel were affected
 - changed job requirements
 - increase or decrease in workload
 - changes in salary or status
 - significant role changes
- c. Number and types of organizational structure changes which resulted; e.g., formation of a computer services unit.
- d. Emergence of new occupations/utilization of paraprofessionals.
- e. Effects on the chain of command.
- 5. HOW HAS THIS INNOVATIVE POLICING STRATEGY AFFECTED YOUR MANPOWER TRAINING AND EDUCATION?

Probe re:

- a. Amounts and types of training (length, content, and techniques) for sworn and nonsworn personnel affected. Include effects on entry level as well as in-service training.
- Educational requirements for sworn and nonsworn personnel affected.
- c. How the agency met the need for additional or revised training or education, including problems encountered in providing the required training or education.
- 6. WHAT OTHER EFFECTS HAS THIS INNOVATIVE POLICING STRATEGY HAD IN THE AREA OF POLICE PERSONNEL ADMINISTRATION?

Probe re effects on:

- a. Position classification and rank structure
- b. Recruitment
- c. Selection
- d. Promotion and career progression patterns
- e. Motivation, effectiveness, and satisfaction
- f. Productivity
- g. Retention and turnover

7. DO YOU THINK THAT THIS INNOVATIVE POLICING STRATEGY HAS HAD ANY EFFECTS WHICH ARE FELT BY OTHER COMPONENTS OF THE CRIMINAL JUSTICE SYSTEM, i.e., PROSECUTION, COURTS, AND CORRECTIONS?

If so, probe re:

- a. What the effects have been.
- b. Where the effects have occurred.
- c. Implications of the effects on reinforcing or retarding use of the innovative strategy.
- 8. WHAT DO YOU THINK THE STATUS OF THIS INNOVATIVE POLICING STRATEGY WILL BE IN YOUR AGENCY IN THE NEXT FIVE YEARS?

Probe re:

- a. Assessment of whether the strategy has been effective in accomplishing what was intended. [If available, obtain copies of evaluation studies or reports.]
- b. The likelihood of the strategy being continued, including forces and counterforces bearing on this.
- c. Whether significant changes in the strategy are anticipated and, if so, what they might be.
- d. Other innovative strategies being considered for implementation in the next five years, the likelihood of each being implemented, when this might occur, what the structures of each might be and the probable effects on agency operations, manpower, training, and education.
- e. Explanation for the projection.
- f. Effects on police-community relations.
- 9. WHAT DO YOU THINK THE STATUS OF NEW INNOVATIVE POLICING STRATEGIES SUCH AS THOSE IMPLEMENTED BY YOUR AGENCY WILL BE IN THE LAW ENFORCEMENT SYSTEM AS A WHOLE IN THE NEXT FIVE YEARS?

For each strategy implemented and under consideration by the agency, probe re:

- a. Estimates of the extent to which the strategy might gain widespread acceptance, including forces and counterforces bearing on this.
- b. The types of innovative policing strategies we can expect to see more of, less of, or not at all in the future.
- c. Explanation for the projection.

10. DURING THE PAST THREE YEARS, HAS YOUR AGENCY GIVEN SERIOUS CONSIDERATION TO IMPLEMENTING ANY INNOVATIVE POLICING STRATEGIES DESIGNED TO DECENTRALIZE OPERATIONAL AUTHORITY AND RESPONSIBILITY AND/OR EXPAND THE ROLE OF BASIC LEVEL POLICE OFFICERS AND ENCOURAGE MORE ACTIVE INVOLVEMENT OF THE PUBLIC IN PREVENTING AND SOLVING CRIMES?

Probe re:

- a. Why or why not (including forces and counterforces bearing on such considerations)?
- b. If "yes," what each innovative strategy considered was, why each was not implemented and whether there is any likelihood that it will be implemented in the foreseeable future, when this might occur, what its structure might be, and its probable effects on agency operations, manpower, training, and education.
- c. If "no," whether serious consideration will be given to such innovative strategies in the foreseeable future (which ones?), the likelihood of each being implemented, when this might occur, what its structure might be, and its probable effects of agency operations, manpower, training, and education.
- d. Projected status of any such innovative strategies in the agency in the next five years.
- e. Projected status of any such innovative strategies in the law enforcement system as a whole in the next five years.

ASK THE INTERVIEWEE TO IDENTIFY ANY ADDITIONAL INFORMATION OR REFERENCES REGARDING SUCH INNOVATIVE STRATEGIES THAT HE MAY HAVE AT HIS DISPOSAL OR BE AWARE OF. THESE MIGHT BE INTERNAL AGENCY STUDIES OR REPORTS OR PUBLISHED DOCUMENTS. RECORD THOSE THAT ARE READILY AVAILABLE FROM OTHER SOURCES AND, IF POSSIBLE, OBTAIN COPIES OF THOSE NOT READILY AVAILABLE ELSEWHERE.

Law Enforcement Variable/Innovation Interview Guide

VARIABLE: REPRESENTATION OF WOMEN AND MINORITIES

DESCRIPTION: The objective of this part of the NMS is to determine whether there has been increased representation of women and ethnic minorities in sworn police positions and, if so, what have been the effects, if any, on the agency's manpower and training/education.

INTERVIEWEES:

- Personnel Department
- Training Department
- Middle Managers
- Chief Executives

QUESTIONS:

1. WHAT PERCENTAGES OF SW NOW AND THREE YEARS AG	ORN POLICE POSITIONS O IN 1972?	ARE/WERE FILLED BY	WOMEN
1972		1975	
% basic level (e	e.g., patrol officer)	positions	<u>%</u>
% all higher ran	iks /	/ /	%/
/ # all sworn posi	tions		ov /
[Note, for quest	ions 1-4, if 1972 fig	gures are not	
available, get they were lower	interviewees estimate	e as to whether	
2/ WHAT PERCENTAGES OF SIN	ORN POLICE POSITIONS 10 IN 1972?	ARE/WERE FILLED BY	MINORITIES
1972		1975	
basic level po	ositions		%
% all higher ran	uks		%
% all sworn posi	tions	·	%

)			
3.	WHAT PERCENTAGE OF BY WOMEN NOW AND TH	ALL NONSWORN IREE YEARS AGO	POLICE POSITIONS in 1972?	ARE/WERE FILLE	D
	1972			1975	<u> </u>
	% all nonswor	n positions		%	
	% all nonswor	·		 % /	
4.	WHAT PERCENTAGE OF BY MINORITIES NOW A	ALL NONSWORM IND THREE YEAR	POLICE POSITIONS S AGO in 1972?/	ARE/WERE FILLET)
	1972			1975	
(% all nonswor	n positions			
	% all nonswor	n positions			
5.	DO YOU EXPECT THE PIN YOUR AGENCY TO (Check below the gr	FURTHER) INCR	EASE WITHIN THE !	VEXT SEVERAL YEA	1253
		Sworn	Nonsworn	Both	
	Women	()	()	()	
	Minorities	()	()	()	
	Both	()	()	()	
	[Probe regarding th thwart increased	e forces and e	counterforces wh	ch facilitate o	ir

6.	HAS YOUR RECRUITI	AGEI NG AI	NCY INSTIT ND HIRING	UTED A	NY And	SPECIAL PROGRAMS OR POLICIES FOR MINORITIES?
	Ye	S				
	No	-	go to que	stion	10.	
7.			ATE WHICH hat apply.		FO	LLOWING PROGRAMS/POLICIES ARE USED.
	Wo	men	Minority	∕ ⁻ Boti	1	
	()	()	()	Special recruitment teams
	().	()	()	Special school and/or college trips
	()	()	()	Visits to community centers, etc., on a regular scheduled basis
	(}	(')	()	Operating storefront (or similar)

()

()

()

()

 U_{ij}

after hours and on weekends Providing pre-examination counseling () () () and training (please describe) Employing different selection pro-()

specify)

news media

centers within the inner city for

Placing advertisements in minority

Keeping information offices open

cedures and/or standards (please

information and/or examination purposes

Other (please specify) () () ()

8. WERE THESE PROGRAMS IN EFFECT THREE YEARS AGO IN 1972?

Yes

()

()

()

()

No - started in 19

9. WHAT WERE THE INFLUENCES WHICH AFFECTED THE DECISION TO INSTITUTE THESE PROGRAMS/POLICIES AND WHAT, IF ANY, WERE THE FACTORS MAKING THE DECISION A DIFFICULT ONE?

10. WHAT ARE THE REASONS FOR NOT HAVING INSTITUTED ANY SPECIAL PROGRAMS/ POLICIES FOR RECRUITING AND HIRING WOMEN AND MINORITIES?

No need to, representation is increasing anyway Have not been able to (ask why)

11. HAS INCREASED REPRESENTATION OF WOMEN AND/OR MINORITIES IN SWORN POLICE POSITIONS CHANGED THE WAY SWORN POSITIONS ARE STAFFED?

Yes

No - go to question 13.

12.	HOW HAVE STAFFING PATTERNS CHANGED? (Get documentation of any changes if available)
	() Women are replacing men in auxiliary functions
	() Women are replacing men in traffic functions
	 () Women are replacing men in community service or relations functions
	 More minority employees are being employed in community service or relations functions
	() Other (please specify)
13.	ARE THERE ANY SWORN POSITIONS WHICH WOMEN CANNOT BE ASSIGNED TO BECAUSE OF POLICY?
	Yes
	No - go to question 15.
14.	WHAT ARE THESE POSITIONS?
	() Any patrol positions
	() Single-person patrols
	() Special operations
	() Supervisory positions
	() Other (please specify)

15. ARE THERE ANY SWORN POSITIONS TO WHICH MINORITY EMPLOYEES CANNOT BE ASSIGNED?

Yes (please specify)

No

16. HAS INCREASED REPRESENTATION OF WOMEN AND/OR MINORITIES IN SWORN POLICE POSTIONS HAD ANY NOTICEABLE IMPACT ON PERSONNEL MATTERS (E.G., PERFORMANCE, RETENTION, EMPLOYEE-MANAGEMENT RELATIONS, ETC.) OTHER THAN TRAINING WHICH I SHALL ASK ABOUT SHORTLY?

Yes (please specify)

No

17. DO FEMALE AND/OR MINORITY OFFICER RECRUITS TEND TO DIFFER IN EDUCATIONAL LEVEL AND/OR RELEVANT BACKGROUND EXPERIENCES FROM OTHER RECRUITS? (Get documentation of education levels by employee group if available.)

Yes - please specify how they differ

No

18. HAVE THERE BEEN ANY CHANGES IN RECRUIT OR IN-SERVICE TRAINING AS A RESULT OF INCREASED REPRESENTATION OF WOMEN AND/OR MINORITIES IN SWORN POLICE POSITIONS?

Yes

No - but changes are needed (go to question 20)

No

19. WHAT HAVE THESE CHANGES BEEN?

20. WHAT CHANGES DO YOU THINK ARE NEEDED?

21. WHAT IS YOUR AGENCY'S APPRAISAL OF ITS ADAPTATION TO WOMEN AND/OR MINORITY OFFICERS AND THEIR ADAPTATION TO THE AGENCY?

22. WHAT NOTICEABLE IMPACT, IF ANY, HAS THE EMPLOYMENT OF WOMEN AND/OR MINORITY OFFICERS HAD ON YOUR AGENCY'S RELATIONSHIP WITH THE COMMUNITY?

Law Enforcement Variable/Innovation Interview Guide

VARIABLE/INNOVATION: UTILIZATION OF PERSONNEL

DESCRIPTION: Many factors have been brought to bear on police agencies which have led them to experiment with various ways of utilizing their personnel resources. For purposes of the NMS, our inquiry will be limited to those strategies implemented within the last three years. The following are of particular interest:

- any new forms of specialization;
- significant increases or decrease in the number of nonsworn personnel utilized by the agency; and
- any new functions which personnel are required to perform.

INTERVIEWEES:

- Chief Executives
- Mid-Level Managers
- Personnel Department
- Training Department

QUESTIONS:

1. DURING THE PAST THREE YEARS, HAS YOUR AGENCY EXPERIMENTED WITH NEW OR DIFFERENT STRATEGIES FOR UTILIZING YOUR PERSONNEL RESOURCES?

[Relevant examples might be cited to ensure that the interviewee understands the question.]

Yes - continue to questions 2 thru 9.

No - skip to question 10.

2. PLEASE BRIEFLY DESCRIBE HOW EACH STRATEGY IS STRUCTURED AND HOW IT OPERATES IN YOUR AGENCY.

[It is critically important that each specific strategy be described accurately and in sufficient detail so as to be understandable to a reader with minimum subject matter knowledge. Each of the following 7 questions (3 thru 9) will be asked for each specific strategy. It is important that all questions be answered for each strategy. Ask for copies of written material that might be available which describes specific strategies.]

Probe re:

- a. Changes in patterns of departmental personnel utilization in terms of numbers, types, and functions performed
- 3. WHAT LED YOUR AGENCY TO EXPERIMENT WITH EACH OF THESE STRATEGIES?

For each strategy, probe re:

- a. When it was implemented
- b. Whether it was first implemented as an experimental project on a limited basis and later expanded, or, ir not yet expanded, what the likelihood is of it being expanded further and when this might occur.
- c. Forces and counterforces (positive and negative influences) encountered during the decision-making and implementation processes.
- d. Problems solved as well as those which might have been created
- e. Whether such a strategy was implemented and subsequently discontinued or revised significantly. If so, collect information regarding the circumstances and why this occurred. (Cessation of funding from external sources might be a good example.)
- f. Where the funds to support implementation of the strategy derived from and how much the strategy costs. (Determine amount of funding from each source, including agency budget if local funds were used.) If funds were from external sources such as LEAA or the Department of Labor ascertain what the likelihood is of the strategy continuing or being expanded after cessation of outside funding.
- 4. HOW HAS EACH STRATEGY AFFECTED YOUR AGENCY'S WORKLOAD, MANPOWER NEEDS, AND STAFF DISTRIBUTION?

For each stragegy, probe re:

- a. Number and types of personnel affected (especially insofar as the key occupations are concerned; it is also important to distinguish between sworn and nonsworn personnel affected).
- b. How these personnel were affected
 - -changed job requirements
 - -increase or decrease in workload
 - -changes in salary or status
 - -significant role changes
- c. <u>Number</u> and <u>types</u> of organizational structure changes which resulted, e.g. consolidation of several functions into a specialized unit.
- Emergence of new occupations/utilization of paraprofessionals.

- 5. HOW HAS EACH STRATEGY AFFECTED YOUR MANPOWER TRAINING AND EDUCATION?

 For each stragegy, probe re:
 - a. Amounts and types of training for sworn and nonsworn personnel and those assigned to specialist positions as a result
 - b. Educational requirements for sworn and nonsworn personnel and those assigned to specialist positions as a result
 - c. How the agency met the need for additional training or education, including problems encountered in providing the required training or education
- 6. WHAT OTHER EFFECTS HAS EACH STRAGEGY HAD IN THE AREA OF POLICE PERSONNEL ADMINISTRATION?

For each stragegy, probe re effects on:

- a. Position classification and rank structure
- b. Recruitment
- c. Selection
- d. Promotion and career progression patterns
- e. Motivation, effectiveness, and satisfaction
- f. Productivity
- g. Retention and turnover
- 7. DO YOU THINK THAT ANY OF THESE STRATEGIES HAS HAD ANY EFFECTS WHICH ARE FELT BY OTHER COMPONENTS OF THE CRIMINAL JUSTICE SYSTEM, i.e., PROSECUTION, COURTS, AND CORRECTIONS?

[An example might be a major offender unit which specializes in the preparation of cases involving repeat offenders.]

For each strategy felt to have effects, probe re:

- a. What the effects have been
- b. Where the effects have occurred
- c. Implications of the effects on reinforcing or retarding use of the strategy

8. WHAT DO YOU THINK THE STATUS OF EACH OF THESE STRATEGIES WILL BE IN YOUR AGENCY IN THE NEXT 5 YEARS?

For each stragegy, probe re:

a. Assessment of whether the strategy has been effective in accomplishing what was intended

[If available, obtain copies of evaluation studies or reports.]

- b. The likelihood of the strategy being continued, including forces and counterforces bearing on this
- c. Whether significant changes in the strategy are anticipated and, if so, what they might be
- d. Other personnel utilization strategies being considered for implementation in the next five years, the likelihood of each being implemented, when this might occur, what the structure of each might be and the probable effects
- on on agency operations, manpower, training, and education.
- e. Explanation for the projection
- 9. WHAT DO YOU THINK THE STATUS OF NEW PERSONNEL UTILIZATION STRATEGIES SUCH AS THOSE IMPLEMENTED BY YOUR AGENCY WILL BE IN THE LAW ENFORCEMENT SYSTEM AS A WHOLE IN THE NEXT 5 YEARS?

For each strategy implemented and under consideration by the agency, probe re:

- a. Estimates of the extent to which the strategy might gain widespread acceptance, including forces and counterforces bearing on this
- b. The types of strategies we can expect to see more of, less of, or not at all in the future
- c. Explanation for the projection
- 10. DURING THE PAST THREE YEARS, HAS YOUR AGENCY GIVEN SERIOUS CONSIDERATION TO EXPERIMENTING WITH NEW OR DIFFERENT STRATEGIES FOR UTILIZING YOUR PERSONNEL RESOURCES?

Yes

No

Probe re:

- a. Why or why not (including forces and counterforces bearing on such consideration)?
- b. If "YES," what each strategy considered was, why each was not implemented and whether there is any likelihood that it will be implemented in the forseeable future, when this might occur, what its structure might be, and its probable effects on agency operations, manpower, training, and education

- c. If "NO," whether serious consideration will be given to such strategies in the forseeable future (which ones?), the likelihood of each being implemented, when this might occur, what its structure might be, and its probable effects on agency operations, manpower, training, and education
- d. Projected status of any such strategies in the agency in the next 5 years.
- e. Projected status of any such strategies in the law enforcement system as a whole in the next 5 years.

Ask the interviewee to identify any additional information or references regarding such strategies that he may have at his disposal. These might be internal agency studies or reports or published documents. Record those that are readily available from other sources and, if possible, obtain copies of those not readily available elsewhere.

Date
 Interviewer

Personnel Department Interview for Law Enforcement Agencies

Name
Title
Location
Telephone Number
Give introduction, describing goals of study, reason for agency selection and purpose of this interview.
1. Are sworn police personnel in your agency under a civil service merit system?
ן () Yes (all ranks)
(15) 2 () Partly (some ranks - specify which ones)
3 () No (if no, specify type of system)
 Which of the following person(s) or agency(ies) has the major responsibilities for establishing policies for sworn police personnel (Check all that apply)
(16) 1 () Civil Service Commission
(17) 2 () Central Personnel Office
(18) 3 () Public Safety Director
(19) 4 () City Manager or similar
(20) 5 () Board of Police Commissioners or similar
(21) 6 () Police Personnel Office
(22) 7 () Chief of Police
(23) 9 () Other (Please specify.)
3. Which of the above agencies has authority for setting the sworn personnel ceiling in your agency?
(24) (use code number from item 2)
4. Is there also a ceiling set on the number of authorized positions for each rank?
1 () Yes
(25) 2 () No, just the total

			Police Personnel Office	Police Dept. but not Police Personnel Office	Civil Service Commission and/or Central Personnel Office	
		Establishing entrance qualification standards for applicants	1	2	3	4
		Administering entrance exams				(2
		Recruiting				
		Preparing job specifications and/or position descriptions			·	
		Developing pay schedules				
		Developing promotion standards				
		Administering promotion exams				
		Engaging in collective bargaining with unions and/or employee organizations		netgomeintoment/Per		
		Planning and conducting training programs			، میشندسین پسیندست رای بیرو یو	grangen omen p
		Planning and conducting an affirmative action program		a quantities - and a second		
ŝ.		is the minimum educational requirement officers?	for emplo	oyment of	entry-	
		1 () No formal education requirement	:s			
		2 () Completion of 8th grade				
		3 () Completion of 10th grade				
	(36)	4 () High school diploma or equivale	ncy cert	ificate		
		5 () Some college up to one year				
		6 () Associate Degree (two years col	lege)			
		7 () Bachelor's Degree (if a specif	ic field	, specify)	
	Mha+	is the minimum age requirement for empl	ovment by	v entry-le	evel	

8.	Does your agency expect the minimal educational requirements to remain the same in the next several years?
	ן () Yes
	(39) 2 () No, will be lowered to
	3 () No, will be raised to
9.	Does your agency expect the minimal age requirement to remain the same in the next several years?
	1 () Yes
	(40) 2 () No, will be lowered to
	3 () Yes, will be raised to
10.	Why does your agency expect these requirements to stay the same/change?
	o and the second second second second second second second second second second second second second second se
11	Is successful completion of recruit training required prior to being
	appointed to your police department as a sworn police officer?
	1 () Yes
	(41) 2 () No
12.	Is successful completion of the probationary period required prior to being appointed to your police department as a sworn police officer?
	1 () Yes
	(42) ₂ () No
13.	How long is the probationary period for recruit or new police officers?
	1 () No probationary period (skip to question 15)
	2 () 6 months
	(43) 3 () 12 months
	4 () 18 months
	9 () Other (please specify)

14. During the past 12 months, as of the end of last month, what was the number and percent of recruit officers who did not successfully complete their required probationary period?	
(44-45) No. of voluntary terminations Percent of total recruits % (46-4	17)
(48-49) No. of involuntary terminations Percent of total recruits% (50-5	51)
(52-54 Total no. of terminations Percent of total recruits % (55-5	i6)
15. Within the past year, has your agency hired sworn personnel from other police departments or similar agencies?	
(57) 1 () Yes, total number (58-60)	
(61) 2 () No (ask why and then go to question 19)	
16. For which of the following key positions were these lateral entry/transfers made?	
(62) 1 () Patrol officer	
(63) 1 () Detective/Criminal investigator	
(64) 1 () First line supervisors	
(65) 1 () Mid-level manager	
(66) 1 () Chief executives	
(67) 1 () Evidence technician/crime scene analyst	
(68) 1 () Police planner	
(69) 1 () Police legal advisor	
17. What number of these people were hired under each of the following conditions?	
Number	
(70-72) Hired for ranks equal in responsibility to those they left	
(73-75) Hired for ranks lower in responsibility than those they left	
(76-78) Hired for ranks greater in responsibility than those they left	
18. Were these people hired by meeting qualifications equal to those required of members of your department?	
1 () Yes	
(79) 2 () No (please specify how requirements differed)	

19.	Do y	ou ha	ave	any problems recruiting for any of the following personne	1 categories?
	(80)	1 ()	No, go to question 21	
	(15)	1 ()	Yes, patrol officers	
	(16)	1 ()	Yes, police planners	
	(17)	1 ()	Yes, police legal advisor	
	(18)	1 ()	Yes, other	
20.	What	are	the	reasons for these problems?	
ä	(19)	1 ()	Selection standards are too high	
	(20)	1 ()	Selection standards are too low	
•	(21)	1 ()	Pay is not competitive in labor market	89
	(22)	7 ()	Benefits are not competitive in labor market	
	(23)	1 ()	Police work is unattractive	
	(24)	1 ()	Reputation of the department	
	(25)	1 ()	Population characteristics of community such as a retirement community (specify)	
	(26)	1 ()	Difficulty in recruiting minorities	
	(27)	1 ()	Limited recruitment budget/staff	
	(28)	1 ()	Other (specify)	
				Use space below to get any elaborations of reasons checked.)	

21.	Are as y				her significant personnel problems in this agency hem?
	(29)	1	()	No, go to question 22
	(30)	1	()	Not enough budget to hire
	(31)	7	()	Pay scale
	(32)	1	()	Turnover
	(33)	1	()	Poor morale
	(34)	1	()	Little chance for advancement
	(35)	1	()	Had to lay-off personnel
	(36)	Ţ	("")	Problems with union
	(37)	1	()	Other (specify)
t					Use space below for any elaborations of problems checked.)

	(38) 1	()	(39	9)1()	(40)1()	(41) 1	()	(42	2) 1	()	(43)	1()	(44)	1()
	Pa	itro	1		Cp1.	Sgt.		Lt.			Capt.		Maj.		Chie
23.	Tota	1 n	umt	er	ranks (d	count of a	bove)								
	(45)														
24.	What at t	ar he	é t pat	he ro	differer l officer	nt types o r rank?	fassig	nments	(b	roa	dly gı	roupe	d belo	w)	
	(46)	1	()	patro1		(4	7) 1 ()	fu	gitiv	e/war	rant		
	(48)	1	()	traffic		(4	9) 1 ()	ha	rbor	patro	1		
	(50)	1	()	accident	t investig	ation(5	1) 1 ()	ро	lice-	commu	nity r	elatio	กร
	(52)	1	()	special	operation	s (5	3) 1 ()	id	entif	icati	on		
	(54)	1	()	tactical	l operatio	ns (5	5) 1 ()	pe	rsonn	el			
	(56)	1	()	canine u	ınit	(5	7) 1 ()	tr	aining	3			
	(58)	1	()	helicopt	ter unit	(5	9) 1 ((.)	ρŢ	anning	g/res	earch		
	(60)	7	()	plaincle	othes work									
	(61)	1	()	dispatch	ning									
			((52)	1 ()	Other (specify) .						•	
25.	Are firs		ry-	le	vel patro	ol officer	s alway:	s give	n a	pa	trol a	assig	nment		
		1	()	Yes										
	(63)	2	()	No										
26.	If n	ο,	wha	t	other fir	st assign	ments a	re pos	sib	1e?					т. Т
	(64)	1	()	Traffic										
	(65)	1	() ,	Accident	investiga	tion								
	(66)	1	(enforcemen									
	(67)	1	(Dispatchi										
	(68)	7	,		Other (sp	-									

27.	What is the opinion of supervisors in your agency regarding how many years it takes a rookie officer to become a proficient patrol officer?									
	(69))	Don't know					
	(70)	•	<u>.</u>	_	Years (any elaboration)					
28.	Are	the	ere	sp	ecialized assignments with pay differentials within each					
	of t	the	rar	ıks	of patrol officer, first line supervisor, lieutenant,					
		1	()	Yes					
	(71)	2	()	No, but certain specialized assignments get differential pay incentive					
		3	()	No, only one pay scale for each rank					
					(If yes, ask for descriptions of the number of levels, types of assignments, and pay scales. If no, but pay incentives for certain specialized assignments, ask for details.)					
29.	Doe	s y	our	ag	ency have any formal requirements for promotion?					
	(1	()	Yes					
	(72)	2	()	No - go to question 33					

30.	What are	the	factors	used	to determ	ine	eligit	ility	, extra	points	and
	ranking o	of ca	andidates	for	promotion	to	first	line	supervis	sor?	

		termine bility		eceive a Points	To Ord Can	er	<	Che Mos Imp Fac	st oor	t.
Supervisory evaluations	(73) ()	(2)	. 3 ()	1	()	
Veteran's preference	(74) ()	()	()	2	()	
Seniority within rank*	(75) ()	(}	()	3	()	
Promotion exam (written)	(76) ()	()	()	4	()	
Experience (type of, variety of) in previous										(80)
rank	(77) ()	()	()	5	()	
Advanced education*	(78) ()	()	()	6	()	
In-service training*	(79) ()	()	()	7	()	

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31.	Are	the	factors	the	same	for	promotion	to	higher	ranks?
					–	-				

(15) $\frac{1}{2}$ () Yes $\frac{1}{2}$ () No - describe how different

^{*}Ask question 32 if one or more of these are checked

32.	What are (if any) the minitraining required to be el (Note: Get data from positif available).	igible for prom	otion to the fo	ollowing ranks?
		Min. Yrs. in Next Lower Rank	Education (Credits or degree)	In-Service Training No. Hours
	To Corporal			
	To Sergeant		-	
	To Lieutenant	·		
	To Captain			
	To Major	<u> </u>		·
33.	Do officers promoted to the more frequently from a cerments at the patrol rank? (16) 1 () No, it varies (16) 2 () Yes (specify)	tain type of as considerably	oral or Sergean ssignment or pa	t tend to come ttern of assign-
				(
34.	Do officers promoted to t tend to have had a certai	the level of mid in pattern of a	ddle management ssignments at t	he lower ranks?
	(17) 2 () Yes (specify)			
25	Mark is any as the Sal	Ilanina thuas a	moveding occupat	ions solostad
35.	Which, if any, of the fol for the NMS study are now	riowing three e vutilized in y	merging occupat our department?	Tons selected
	(18) 1 () Community ser	rvice officer		
	(19) 1 () Police cadet		•	
	(20) 1 () Police aide			
	(21) 1 () None of these	е		•

36.	be	cons	side	ere	d as	er positions in you emerging occupation puestion 39.)	r agency whi s? (If answ	ich you feel wer to items	should 36 and
(22)	1 2	()	No Yes	specify)			

37. What have been the effects so far of the emerging occupation(s) upon total manpower requirements?* (Ask for each applicable occupation.)

	<u>cso</u>		Cade	<u>t</u>	<u>Aide</u>	
				•		No net effect
(23)	2 ()	(24)	2 () (25)) 2 ()	Decreased total personnel strength
	3 ()		3 ()	3 ()	Decreased total personnel strength

*Follow-up on any training/education effects with training dept. interview question.

(If there have been effects, ask for the specifics such as which key occupations were offered. Also, probe for effects on recruitment, morale, turnover, performance.)

38. Which factor(s) led to the emerging occupation(s) being funded as new positions or created from existing ones?

	<u>CS</u>	0		<u>Ca</u>	det		<u>Ai</u>	<u>de</u>	
(26)	1 ()	(27)	1 ()	(28)	1 ()	Organization changes
(29)	1()	(30)	1()	(31)	1()	Role or mission changes
(32)	1()	(33)	1()	(34)	1()	Policy changes
(35)	1 ()	(36)	1()	(37)	1()	SOP or work procedure changes
(38)	1()	(39)	1()	(40)	1 ()	Introduction of new or modified equipment
(41)] ()	(42)	1()	(43)	1()	Job reengineering
(44)	1 ()	(45)	1()	(46)	1()	Outside factors such as community pressure, court decisions, laws
(47)	ղ()	(48)	7()	(49)	1()	Unionization
(50)	1()	(51)	1()	(52)	լ()	Use of women, minority groups, civilians, paraprofessionals

(Get as much of the details as possible on the factors checked above. If alternative 6 is checked, ask which jobs were reengineered and how to create the emerging occupation(s).)

39. Is your agency seriously considering or planning the reengineering or redesigning of any key jobs?

(53)
$$\frac{1}{2}$$
 () No 2 () Yes (specify and elaborate)

(NOTE: do not ask questions 40-42 if alternative #4 was not checked on question 21.)	
40. Is the turnover rate greater for some occupational categories than for others?	
(54) 1 () No	
2 () Yes (specify which categories)	
41. What appear to be the reasons for the turnover problem? (Ask for elaboration of reasons checked and/or for any available analyses/studies of the turnover.)	
(55) 1 () Pay and benefits	
(56) 1 () Aspects of the work itself	
(57) 1 () Organization and management	
(58) 1 () Recruitment and selection	
(59) 1 () Training/educational opportunities	
(60) 1 () Promotion opportunities	
(61) 1 () Other (specify)	
42. Do you expect the turnover rate to remain about the same or increase or decrease over the next several years and why?	•
1 () Same	
(62) 2 () Increase	
3 () Decrease (if checked, get details on efforts to improve retention)	

43. What is the a voluntarily f	verage length of serv or reasons other thar	ice of officers retirement?	who leave
(63-64)	Years		
minority grou question is t separate inte 1 () Y (65) 2 () N 45. What is the s and/or square	ncy have any special ps and women for swor o be followed up at t rview form on minorit es o taffing ratio now of miles served? (Note	n police positi he appropriate ies and women.) sworn personnel , if agency rep	ons? (Note - this point(s) with the to population
	per	p	er
46. Has this rati	nel population o changed at all duri o es (ask how and why)	ng the past fiv	,
(an) 1 () N	expected to change i o es (ask why)	n the near futu	re?

		Date	
 	 79.5		
 		Inter	viewer

Training Department Interview For Law Enforcement Agencies

lame		
Γitl		
_oca	tion	
[e]e	phone number	
Give and	introduction, describing goals of study, reas purpose of this interview.	on for agency selection
1.	How many personnel are employed full-time in y	our department?
	(15-18)sworn officers	
	(19-22)civilians	
	(23-27)total	
2.	Approximately what percent of your staff's tim giving training as opposed to administrative a	e is spent on nd other functions?
	(28-29)% of sworn officers' time	
	(30-31)% of civilians' time	
	(32-33)% of total time	
3.	How are trainers on your staff selected and as	signed?
	(34) 1 () Recruited as trainers from outs	The state of the s
	(35) 1 () Recruited from line or staff pe formal recruit training	rsonnel and given
	(36) 1 () Recruited from line or staff per training on the job with assist	
4.	What kinds of training does your staff give?	
	(37) 1 () Entry level recruit training	
	(38) 1 () In service training	
	(39) 1 () Formal on-the-job training	e de la companya de l

5.	or personnel of your agency participate in training programs that are supported in whole or in part by funding sources outside your agency, e.g., regional criminal justice training centers; F.B.I. sponsored seminars; or highway traffic safety institutes?							
	(40) 1 () Yes 2 () No, go to question 8							
6.	Of the total number of personnel formally trained each year, what percentage receive training from these outside resources? (41-42)%							
7.	Please identify these outside training programs, the funding sources sponsoring them and also the kinds of training delivered by each to your agency's personnel.							
	(Continue responses to item 7 on reverse side and use additional sheets if necessary)							
8.	When do new recruits get trained?							
	(43) 1 () Immediately upon appointment and before receiving any assignment							
	(44) 1 () As soon as it can be scheduled, but always before giving the recruit sworn law enforcement responsibilities							
	(45) 1 () As soon as it can be scheduled and sometimes after the recruit is given sworn law enforcement responsibilities (if this is checked, ask how often this usually happens).							
9.	How many hours of entry level training do new recruits receive? (46-48) hours							
•								
10.	How many training topics or courses are covered in this training?							
	(49-50) topics/courses (Ask for copy of course outline)							
11.	How many, if any, of the hours and the topics are mandated by an outside authority?							
	(51-53) hours							
	(54-55) topics							
12.	What is the authority?							
	1 () State LE Commission or T/E Standards (56) 2 () Other (specify)							

13.	How are the number of hours, topics, and their content and sequence (for which your department has authority) determined?						
	 (57) 1 () From tasks or job analyses (58) 1 () From formal performance evaluation results (59) 1 () Recommended or specified by management 						
	and/or supervisor (60) 1 () Other (specify)						
14.	In your agency's opinion, how long does it take for a new patrol officer to become a proficient and mature journeyman at his/her job?						
	(61)years						
15.	Is your agency presently satisfied with the length and content of recruit training?						
	(62) 1 () Yes 2 () No, ask why						
16.	Are there any plans to change the recruit training program? 1() Yes, ask what						
	(63) 2 () No						
17.	Which kind(s) of in-service training is (are) given?						
	(64) 1 () Review courses for upgrading skills and knowledges						
	(65) 1 () Specialized training						
	(66) 1 () Supervisory training						
	(67) 1 () Other (specify)						

18.	Who provides in-service training in your agency? -check all that apply-						
	(68)	1 ()	Training staff			
	(69)	1.()	Line officers			
	(70)	1 ()	Staff officers			
	(71)	1 ()	Specialists from outside			
19.	Is any author	part	of	your in-service training mandated by an outside			
	(72)	1 ()	Yes (identify the authority, which kind(s) of in-service training and ask for specifics on number of hours and topics)			
		2 ()	No			
20	Uou av		 .	is in samuica thaining maguinements (agan which your			
20.				ic in-service training requirements (over which your hority) determined?			
	(73)	1 ()	Recommended or specified by management and/or supervision			
	(74)	Ţ ()	From formal performance evaluation results			
	(75)	1 ()	From task job analyses			
	(76)	1 ()	Other (specify)			
21.	What g	jives	ris	e to in-service training needs in your agency?			
	(77)	1 ()	Specialized assignments			
	(78)	2 ()	Promotional assignments			
	(79)	3 ()	Changes in technology			
	(80)	4 ()	Changes in laws			
	(15)	5 ()	Changes in agency policies/procedures			
	(16)	6 ()	Redesign of jobs			
	(17)	7 ()	Emerging occupations			
	(18)	8 ()	Need for general refresher training			
	(19)	9 ()	Other (specify)			
				•			

ť

22.	Which	of th	e a	bove is the most important factor?			
	(20)						
23.	How re	gular	1 y	are review courses required?			
		1 ()	Once or more a year			
		2 ()	Once every 2 years			
	(21)	3 ()	Once every 3 years			
		4 ()	Once every 5 years or less often			
		5 ()	As needed			
24.	Which non-supervisory key occupations are provided review courses or specialized training?						
	(22)	1 ()	Patrol officer			
	(23)	1 ()	Traffic officer			
	(24)	1 ()	Detective/criminal investigator			
	(25)	1 ()	Evidence technician/crime scene analyst			
	(26)	1 ()	Police planner			
25.	If spe	ciali	zed	training is provided, indicate which kind(s).			
	(27)	1 ()	Investigation			
	(28)	7 ()	Crisis intervention			
	(29)	1 ()	Community relations			
	(30)	1 ()	Tactical operations			
	(31)	1 ()	Internal affairs			
	(32)	1 ()	Communications			
	(33)	1 ()	Canine handling			
	(34)	1 ()	Special weapons			
	(35)	- 1,()	Crime prevention			
	(36)	1 ()	Juvenile			
	(37)	7 ()	Other (specify)			

26.				s it given before or after upervisory duties?	
	1 ()	Before, and aff	ects final pr	romotional decision	
	2 ()	Before, but doe	es not affect	final promotional decision	
	$(38) \frac{1}{3} ()$	After, and rout	tinely given e	every new promotee	
	4 ()			as needed basis	
			•		
27.		in-service train		brought about by one or ?	
100		Community serv	•		
	(40) 1 ()	Police cadet			
	(41) 1 ()	Police aide			
	(42) 1 ()	None of the abo	ove		
28.	the training a		requirements w	nerging occupation(s) upon within your agency? (Ask	
	CSO_	<u>Cadet</u>	<u> Aide</u>		
	31	32	33		
	(43) 1 ()	(44) 1 ()	(45) 1 ()	No effects	
	(46) 1 ()	(47) 1 ()	(48) 1 ()	Change in training content	
	(49) 1 ()	(50) 1 ()	(51) 1 ()	Change in length of training	
	(52) 1 ()	(53) 1 ()	(54) 1 ()		
	(55) 1 ()	(56) 1 ()	(57) 1 ()	·	
		ct checked, get ects on key occ		ne details on reverse side as possibl	е,
29.	Has any other in-service tra	emerging occupationing a necessi	tion utilized ty?	by your agency made	
	(58) 1 ()	Yes			
	2 ()	No No			
	If so, which o	occupations?			
	What is the le	ength and conten	t of the trai	ning?	

30. Is your agency presently satisfied that in-service training needs are being met?

(59) 1 () Yes 2 () No (specify)

31. Are there any plans to change the in-service training program?
1 () Yes (specify)
(60) 2 () No

33.	Has th				a formal evaluation of your training program(s) within ears?
	(62)	1	()	Yes
	(62)	2	()	No - go to question 36
34.	Which	pro	gra	am(s) were evaluated?
	(63)	1	()	Entry-level recruit training
	(64)	1	()	In-service training
	(65)	1	()	Formal OJT
35.	How are	e (w	ere	e)	the evaluation(s) made?
	(66)	1	()	Percentage of trainees who meet specific terminal performance objectives
	(67)	1	()	Control vs. experimental group comparisons
	(68)	1	()	Feedback survey of trainees themsleves
	(69)	1	()	Feedback survey of management and supervision
	(70)	1	()	Tests
	(71)	1	()	Other (specify)
36.	Did th	ne e	va	ไมล	tion cause changes in the training program?
	J . G . O,	1	 (. u u	No
	(72)	2	1	. /	
	\- - /	۲.	1	,	Yes (specify)

37.	Do you think that college education should be required for any of the jobs in your department?
	(73) 1 () Yes (specify jobs and reasons) 2 () No (ask why)
	2 () NO (ask wily)
38.	What percentage of sworn personnel are continuing their education? (74-75)%
	(Get a statistical breakdown by rank and key occupation, if available)
39.	What percentage of sworn personnel have at least an AA degree? (Get a statistical distribution of levels of college attained if available.)
	(76-77)%
40.	Do officers receive college credit for any training given by your department?
	(78) 1 () Yes (get specifics) 2 () No

41. Which of the following policies concerning continuing education of your agency have?							
	(79)	1	()	Schedules are adjusted to facilitate class attendance		
	(80)	1	()	Time off is allowed to attend class		
	(15)	1	()	Pay is increased according to number of accumulated college credits or degrees		
	(16)	1	()	Continuing education is a formal promotion factor		
	(17)	1	()	Agency gives subsidies for books and tuition		
42.	polic	cies	ar	nd	en any changes in your recruit and/or inservice training programs as a result of more college educated officers?		
	(18)	1 (2 (es (Go to Question <u>43</u> and then skip question 44) o (Go to question 44)		
43.					e changes? (Probe for any differences between college cers and others in amount or type of training given.)		
44.	Ÿ				college educated officers have different training needs?		
	(19)	1 ()	Y N	es (Specify - use reverse side) o		

45. Would you please describe the extent of the working relationships your agency maintains with criminal justice programs of local colleges/universities (e.g., whether agency participates in a CJ program advisory board)?

46. What would you say your agency's appraisal is of local college/university CJ programs?

(20) 1 () Mutually beneficial (specify how) 2 () Problems exist (specify what)

A NATIONWIDE SURVEY OF LAW ENFORCEMENT CRIMINAL JUSTICE PERSONNEL NEEDS AND RESOURCES

VOLUME VIII - ATTACHMENT B

FIELD ANALYSIS OF OCCUPATIONAL REQUIREMENTS
AND PERSONNEL MANAGEMENT
IN CRIMINAL JUSTICE AGENCIES

FINAL REPORT

Prepared for
Department of Justice
Law Enforcement Assistance Administration

by
National Planning Association,
American Institutes for Research,
and
Bureau of Social Science Research
Washington, D.C.

Under Contract No. J-LEAA-035-74
September 30, 1976

A NATIONWIDE SURVEY OF LAW ENFORCEMENT CRIMINAL JUSTICE PERSONNEL NEEDS AND RESOURCES NCJRS

SEP 2 1 1977

ACQUISITIONS

VOLUME VIII - ATTACHMENT B

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AND PERSONNEL MANAGEMENT
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VOLUME VIII: FIELD ANALYSIS OF OCCUPATIONAL REQUIREMENTS AND PERSONNEL MANAGEMENT IN CRIMINAL JUSTICE AGENCIES

APPENDIX

ATTACHMENT B

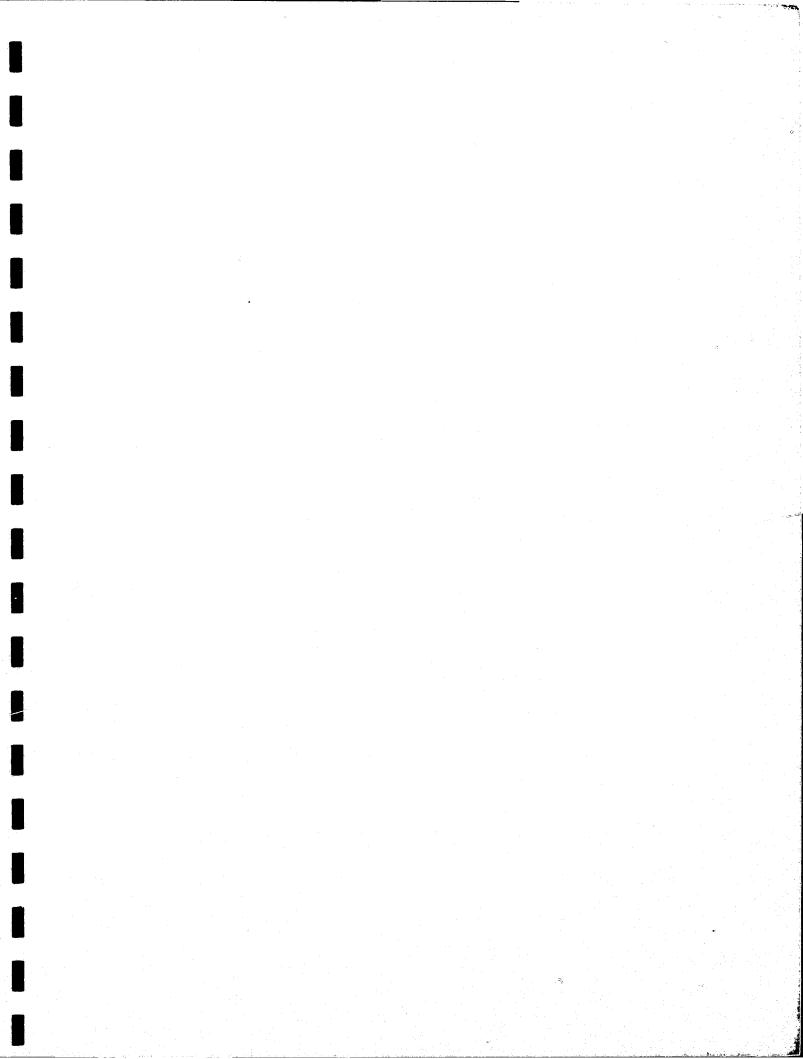
JUDICIAL PROCESS DATA INSTRUMENTS

AIR Task Checklist

JUDICIAL PROCESS

Please fill in the identification information requested below. The information will be used for research purposes only and will not become a part of any personnel or official file.

1.	Title of Agency for which you work (e.g., 16th Judicial Circuit Court,	or
	Cook County Public Defender's Office):	_
2.	Agency address:	
3.	What is your position or job title:	
4.	Your Age: (15-16) 5. Sex: Male ()1 Female ()2	_ (17)
6.	Your Race: Black ()1 White ()2 Other ()3	(18)
7.	How long have you worked in your current position: Years Months	(19-2
8.	How many years have you worked for this agency:	_ (23-2
9.	In all, how many years have you worked in the judicial process:	_ (25-2
10,	Please circle the number indicating your current level of formal educat	ion;
	Less than high school diploma01	
	High school graduate	
	1 to 2 years of college	
	2-year college degree	
	3 to 4 years of college	
	4-year college degree	(27-2
	Some graduate course work	
	Master's degree	
	Graduate work beyond the master's degree 09	
	Doctorate10	
	LL.B. or J.D 11	



Introduction and Instructions

Your agency is cooperating with AIR in a survey of judicial process occupations for the Law Enforcement Assistance Administration.

You are asked to provide information about the tasks you are performing in doing your job. Please follow the steps below in completing the inventory.

- Step 1. Put a plus (+) in column 1 for all tasks which you perform, and a (-) for all tasks you do not perform.
- Step 2. Write in at end of checklist any tasks you perform that are not listed.
- Step 3. Using the scale shown on each page, rate in column 2 the relative amount of time you spend in performing a task compared with the time spent on each of the other tasks you do. For example, if you spend a considerable amount of time on a task you would rate this task "C". If you spend a moderate amount of time on a task that would be rated "B", and a very small amount of time would be rated "A".
- Step 4. Then, complete column 3, 4, or 5 to show where you learned the knowledge or skill.

Formal training = classroom (non college) workshops, special courses, entry level or in-service training programs

College courses = courses taken at college or law school either for a degree

or to acquire special knowledge
Informal job learning = working on the job

If you acquired the knowledge or skill in more than one way, put a l in the box that indicates the most valuable source, and a 2 in the box that indicates the less valuable source. If you learned the knowledge or skill from all three sources, put a 3 in the box that indicates the least valuable source.

Step 5. Column 6 is used to indicate whether you think you received a proper amount of training to do your job. For each knowledge or skill you check in column 1, place an (X) in one box in column 6 to indicate:

Too little = not given any/enough training; not enough detail; too narrow in scope, etc.

About right = suited to job tasks; enough depth; provided necessary information, etc.

Too much = overtrained for level needed; too much detail; etc.

We appreciate your cooperation in this phase of the study. It should be very helpful to LEAA in planning support for future training and educational programs.

Job Title: Judge

Scale
Amount
of Time
Spent on
Task:

A = A very small amount of time

B = A moderate amount of time

C = A considerable amount of time

or Don't	time spent on Task (see scale above)	Formal	College	On the Job	Too Little	About Right		(34)
								Ī
								Ī
								(46)
								(52)
			a					(58)
•	:							(64)
								(70)
.								(76)
		ļ	ļ		<u> </u>			(16)
							<u></u>	(22)
								(28)
								(34)
								(40)
								(46)
								(52)
								(58)
								(64)
	: -							(70)
	:							(76)
					-			(16)
								(22)

Job Title: Judge

Amount of Time Spent on Task:

A = A very small amount of time

B = A moderate amount of time

C = A considerable amount of time

	ATPARPAITO	Do (+)	Amount of time spent	(rai	nere learn ik order l	.2.3)	Arr Train	nount of (ing/Educa	(X) ation
TASK STATEMENTS		or Don't Do (+)	on Task (see scale above)	Formal Training	College Course	On the Job	Too	About Right	Too
22.	Consults, and exchanges information with other judges. (23)							
23.	Performs liaison tasks with community and citizen groups and the media)							
24.	Presents and discusses ideas to social service agency representatives, legislative representatives and community groups. (35	,							
25.	Manages the criminal calendar. (41)							
26.	Attends and participates in formal and informal judicial education programs. (47)							
27.	Monitors correctional facilities in the jurisdiction. (53)							
28.	Performs miscellaneous administrative tasks. (59)							ļ
29.	Presides at juvenile hearings and over matters relating to juveniles. (65	,							
30.	IF YOU PERFORM ADDITIONAL TASKS NOT DESCRIBED ABOVE, PLEASE DESCRIBE THEM ON THE BACK OF THIS FORM.								
					·				
•									
•				1 4 s .					

Task Checklist

Court Administrator

JUDICIAL PROCESS

requ	uested below. The information will be a earch purposes only and will not become any personnel or official file.	used for
1.	Title of Agency for which you work (e.g. Judicial Circuit Court, or Cook County Defender's Office):	Public
2.	Agency address:	
3.	What is your position or job title:	
4.	Your Age: (15-16) 5. Sex: Male Female()2 (17) 6. Your race: Black White ()2 Other ()3	ack()1
7.	How long have you worked in your current Position: Years Months	
В.	How many years have you worked for this agency:	s (23-24)
9.	In all, how many years have you worked judicial process:	

10. Ple	ease circle the number indicating your current level formal education:
÷	Less than high school diploma01
	High school graduate02
	1 to 2 years of college03
	2-year college degree04
	3 to 4 years of college05
	4-year college degree
	Some graduate course work07
	Master's degree08
	Graduate work beyond the master's degree09
	Doctorate10
	LL.B. or J.D11

Introduction and Instructions

Your agency is cooperating with AIR in a survey of judicial process occupations for the Law Enforcement Assistance Administration.

You are asked to provide information about the tasks you are performing in doing your job. Please follow the steps below in completing the inventory.

- Step 1. Put a plus (+) in column 1 for all tasks which you perform, and a (-) for all tasks you do not perform.
- Step 2. Write in at end of checklist any tasks you perform that are not listed.
- Step 3. Using the scale shown on each page, rate in column 2 the relative amount of time you spend in performing a task compared with the time spent on each of the other tasks you do. For example, if you spend a considerable amount of time on a task you would rate this task "C". If you spend a moderate amount of time on a task that would be rated "B", and a very small amount of time would be rated "A".
- Step 4. Then, complete column 3, 4, or 5 to show where you learned the knowledge or skill.

Formal training = classroom (non college) workshops, special courses, entry level or in-service training programs

College courses = courses taken at college or law school either for a degree or to acquire special knowledge

Informal job learning = working on the job

If you acquired the knowledge or skill in more than one way, put a 1 in the box that indicates the most valuable source, and a 2 in the box that indicates the less valuable source. If you learned the knowledge or skill from all three sources, put a 3 in the box that indicates the least valuable source.

Step 5. Column 6 is used to indicate whether you think you received a proper amount of training to do your job. For each knowledge or skill you check in column 1, place an (X) in one box in column 6 to indicate:

Too little = not given any/enough training; not enough detail; too

narrow in scope, etc.

About right = suited to job tasks; enough depth; provided necessary

information, etc.

Too much = overtrained for level needed; too much detail; etc.

We appreciate your cooperation in this phase of the study. It should be very helpful to LEAA in planning support for future training and educational programs.

OMB# 043-S75042 Exp. 7/31/76 LEAA (3600-T)

TASK CHECKLIST

Job Title: Court Administrator

Scale for Amount of Time Spent on Task:

A = A very small amount of time

B = A moderate amount of time

C = A considerable amount of time

TACKOT	A TEMPENTO		Do (+)	Amount of time spent	(ran	nere learn k order l	,2,3)	Traini	Amount of (X) Training/Education		
1ASK 51/	ATEMENTS		or Don't Do (-)	on Task (see scale above)	Formal Training	College Course	On the Job	Too Little	About Right	Too Much	
1.	Analyzes the court system's fiscal needs in order to prepare, present, and justify the judicial system budget	(29)				_					
2.	Testifies as a representative of the judicial system at budget hearings.	(35)						<u> </u>			
3.	Supervises and monitors the fiscal administration of the judicial system.	(41)									
4.	Compiles and collects information about judicial system operations to evaluate and plan for effective management of the court system.	(47)									
5.	Solicits sources for additional funds to supplement regular appropriations.	(53)						ļ <u>. </u>			
6.	Evaluates the performances, practices, and procedures of the judicial system.	(59)									
7.	Develops or modifies plans and procedures of judicial system to accomodate new developments or observed deficiencies	(65)									
8.	Designs and supervises special projects or feasibility studies for the judicial system.	(71)									
9.	Supervises the day-to-day operations of the judicial system.	(77)									
10.	Supervises non-judicial personnel system for the court system.	(17)									
11.	Coordinates court reporter, special project and support services for judicial system.	(23)									
12.	Manages petty and grand jury systems for the court.	(29)									
13.	Coordinates space management and planning.	(35)									
14.	Manages the court's caseflow and case inventory control.	(41)									
15.	Coordinates the collection of information about the judicial system and court operations in order to prepare reports and disseminate information for the court internal staff, special groups such as the bar, and the public as necessary.	(47)									
16.	Prepares reports and/or testimony on impending legislation or proposed rule changes believed to have impact on the court system.	(53)									
17.	Communicates with internal staff, community and external groups, media representatives, educational and political organizations, bar associations, and others.	(59)									
18.	Prepares professional articles and speeches.	(65)									
19.	Responds to questions and problems identified or complaints filed by court personnel, persons having business with the court, and citizens.	(71)									
20.	Meets with judges, judicial councils, bar associations, etc., on a regularly scheduled basis or as requested to give and receive information and guidance.	(77)									
21.	IF YOU PERFORM ADDITIONAL TASKS NOT DESCRIBED ABOVE, PLEASE DESCRIBE THEM ON THE BACK OF THIS FORM.										

Task Checklist

Prosecutor

JUDICIAL PROCESS

	Please fill in the identification information uested below. The information will be used for		ease circle the number indicating your current level formal education:
	earch purposes only and will not become a part any personnel or official file.	$\mathbf{r}_{\mathbf{x}}}}}}}}}}$	Less than high school diploma01
1.	Title of Agency for which you work (e.g., 16th		High school graduate02
	Judicial Circuit Court, or Cook County Public Defender's Office):		1 to 2 years of college03
		No.	2-year college degree04
2.	Agency address:		3 to 4 years of college05
2	What is your position on job title.		4-year college degree
3.	What is your position or job title:	•	Some graduate course work07
4.	Your Age: (15-16) 5. Sex: Male () 1	•	Master's degree08
	Female()2 (17) 6. Your race: Black()1	•	Graduate work beyond the master's degree09
	White ()2 Other ()3 (18)	•	Doctorate10
7.	How long have you worked in your current	•	LL.B. or J.D11
Ó	Position: Years Months (19-22)		
0.	How many years have you worked for this agency: (23-24)	<u>.</u>	
9.	In all, how many years have you worked in the	-	
	iudicial process: (25-26)	• • • • • • • • • • • • • • • • • • • •	

Introduction and Instructions

Your agency is cooperating with AIR in a survey of judicial process occupations for the Law Enforcement Assistance Administration.

You are asked to provide information about the tasks you are performing in doing your job. Please follow the steps below in completing the inventory.

- Step 1. Put a plus (+) in column 1 for all tasks which you perform, and a (-) for all tasks you do not perform.
- Step 2. Write in at end of checklist any tasks you perform that are not listed.
- Step 3. Using the scale shown on each page, rate in column 2 the relative amount of time you spend in performing a task compared with the time spent on each of the other tasks you do. For example, if you spend a considerable amount of time on a task you would rate this task "C". If you spend a moderate amount of time on a task that would be rated "B", and a very small amount of time would be rated "A".
- Step 4. Then, complete column 3, 4, or 5 to show where you learned the knowledge or skill.

Formal training = classroom (non college) workshops, special courses, entry level or in-service training programs

College courses = courses taken at college or law school either for a degree or to acquire special knowledge

Informal job learning = working on the job

If you acquired the knowledge or skill in more than one way, put a 1 in the box that indicates the most valuable source, and a 2 in the box that indicates the less valuable source. If you learned the knowledge or skill from all three sources, put a 3 in the box that indicates the least valuable source.

Step 5. Column 6 is used to indicate whether you think you received a proper amount of training to do your job. For each task you check in column 1, place an (X) in one box in column 6 to indicate:

Too little = not given any/enough training; not enough detail; too narrow in scope, etc.

About right = suited to job tasks; enough depth; provided necessary information, etc.

Too much = overtrained for level needed; too much detail; etc.

We appreciate your cooperation in this phase of the study. It should be very helpful to LEAA in planning support for future training and educational programs.

OMB# 043-575042 Exp. 7/31/76 LEAA (3600-V)

TASK CHECKLIST

Job Title: Prosecutor

Amount of Time Spent on Task:

B = A moderate amount of time

C = A considerable amount of time

TACK CTATIFATO		Do (+)	Amount of time spent		here learn nk order l		Amount of (X) Training/Education			1
TASK ST	ATEMENTS	or Don't Do (-)	on Task (see scale above)	Formal	College	On the	Too	About Right	Too	
1.	Obtains or causes to be collected records and evidence of alleged law violations. (25)							. ,	(34)
2.	Interviews scene witnesses and officers who were at the scene of an alleged crime, officers of the Mobile Crime Laboratory, and other investigators	i)								(40)
3.	Compiles and analyzes information and evidence collected by law enforcement officials, investigators, and other judicial system in order to determine whether sufficient information and probable cause exist. (41))								(46)
4.	Screen cases, advise citizens as to appropriate course of action or decide whether or not to bring formal charges against an individual or individuals.	,								(52)
5.	Gives testimony before the grand jury when requested or on his own initiative. (53	0		<u> </u>	<u> </u>	ļ		<u> </u>		(58)
6.	Represents the state at preliminary hearings	,								(64)
7.	Reviews and evaluates physical and testimonial evidence in a case in order to determine whether additional evidence is necessary(65)								(70)
8.	Supervises or assists case investigators. (71)		<u> </u>						(76)
9.	Consults with superiors, technical experts, and associates in order to make accurate judgements and formulate further plans for case preparation or strategy.)								(16)
10.	Negotiates with defense counsel concerning charges pending against a defendant. (17	,					<u> </u>			(22)
11.	Conducts legal research. (23)					ļ			(28)
12.	Prepares, responds to, and files motions and/or memoranda. (29)								(34)
13.	Orients witnesses.);								(40)
14.	Interviews and evaluates prospective jurors. (41	<u> </u>						<u> </u>		(46)
15.	Prosecutes alleged law violators in a criminal court. (47)		<u> </u>	<u> </u>					(52)
16.	Reviews and analyzes proposals and information about an offender who has pleaded or been found guilty, in order to make recommendations	,								(58) ⁾
17.	Participates in conferences, lectures, and training sessions. (59)			<u> </u>		ļ			(64)
18.	Reviews and evaluates existing case load and calendar schedule. (65)			<u> </u>		ļ	ļ		(70)
19.	Reads/evaluates/analyzes inquiries obtained from various sources and writes material in the form of correspondence, reports, and records	<u> </u>			<u> </u>					(76)
20.	Meets and communicates with LE/CJ personnel in order to keep his legal knowledge current, to enable adopting successful innovations, and to have a store of ideas for possible improvement in his work area. (77)								(18)

Job Title: <u>Prosecutor</u>

Scale Amount of Time Spent on Task:

B = A moderate amount of time

C = A considerable amount of time

TASK ST	Do (+)	Amount of time spent	Wh (ran	ere learned k order (,2,3)	Arr Traini	ount of ()	()		
IASK 31	Archiento	or Don't Do (+)	on Task (see scale above)	Formal Training	College On the	Too Little	About Right	Too	•
21.	Meets and confers with citizens, members of the LE/CJ system and offenders in order to help prevent crime and other violations of law, and to promote a general understanding of the authorities, responsibilities, and objectives of the LE/CJ organization and system. (17)								(22)
22.	Supervises offenders in diversion programs. (23)	ļ. ,				1			(28)
23.	IF YOU PERFORM ADDITIONAL TASKS NOT DESCRIBED ABOVE, PLEASE DESCRIBE THEM ON THE BACK OF THIS FORM.								
		·							
·									
•									

Task Checklist

JUDICIAL PROCESS

Defender

rese	Please fill in the identification information uested below. The information will be used for earch purposes only and will not become a part any personnel or official file.
1.	Title of Agency for which you work (e.g., 16th Judicial Circuit Court, or Cook County Public Defender's Office):
2.	Agency address:
3.	What is your position or job title:
4.	Your Age: (15-16) 5. Sex: Male () 1 Female()2 (17) 6. Your race: Black()1 White ()2 Other ()3 (18)
7.	How long have you worked in your current Position: Years Months (19-22)
8.	How many years have you worked for this agency: (23-24)
9.	In all, how many years have you worked in the judicial process: (25-26)

	of formal education:	vei
٠.	Less than high school diploma01	
	High school graduate02	
	1 to 2 years of college03	94.1 43.2
	2-year college degree04	j.
	3 to 4 years of college05	
	4-year college degree06	(27-28
•	Some graduate course work07	
	Master's degree08	
•,	Graduate work beyond the master's degree09	
	Doctorate10	•

Introduction and Instructions

Your agency is cooperating with AIR in a survey of judicial process occupations for the Law Enforcement Assistance Administration.

You are asked to provide information about the tasks you are performing in doing your job. Please follow the steps below in completing the inventory.

- Step 1. Put a plus (+) in column 1 for all tasks which you perform, and a (-) for all tasks you do not perform.
- Step 2. Write in at end of checklist any tasks you perform that are not listed.
- Step 3. Using the scale shown on each page, rate in column 2 the relative amount of time you spend in performing a task compared with the time spent on each of the other tasks you do. For example, if you spend a considerable amount of time on a task you would rate this task "C". If you spend a moderate amount of time on a task that would be rated "B", and a very small amount of time would be rated "A".
- Step 4. Then, complete column 3, 4, or 5 to show where you learned the knowledge or skill.

Formal training

= classroom (non college) workshops, special courses, entry level or in-service training programs

College courses

= courses taken at college or law school either for a degree or to acquire special knowledge

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A 1 1. 1.

Informal job learning = working on the job

If you acquired the knowledge or skill in more than one way, put a 1 in the box that indicates the most valuable source, and a 2 in the box that indicates the less valuable source. If you learned the knowledge or skill from all three sources, put a 3 in the box that indicates the least valuable source.

Step 5. Column 6 is used to indicate whether you think you received a proper amount of training to do your job. For each task you check in column 1, place an (X) in one box in column 6 to indicate:

Too little

= not given any/enough training; not enough detail; too narrow in scope, etc.

About right

= suited to job tasks; enough depth; provided necessary information, etc.

Too much

= overtrained for level needed; too much detail; etc.

We appreciate your cooperation in this phase of the study. It should be very helpful to LEAA in planning support for future training and educational programs.

OMB# 043-5/5042 Exp. 7/31/76 LEAA (3600-S)

TASK CHECKLIST

Job Title: <u>Defender</u>

Amount of Time Spent on Task:

A = A very small amount of time

B = A moderate amount of time

k: C = A considerable amount of time

TASK STATEMENTS			Do (+) Amount of time spent	(ran	nere learn k order l	,2,3)	Amount of (X) Training/Education			
			or Don't Do (-)	on Task (see scale above)	Formal Training	College Course	On the Job	Too Little		Too Much
1. Represents	clients at police line-ups and interrogations.	/ (29)								
	and consults with clients in order to decide on case objectives and repo	ort / (35)	ļ. 							
3. Represents	clients at preliminary hearings.	(41)								
4. Represents	clients at bail hearings.	(47)				ļ		ļ		
5. Interviews officers o	scene witnesses and officers who were at the scene of an alleged crime, of the Mobile Crime Laboratory, and other investigators.	(53)								
6. Reviews an whether ad	d evaluates physical and testimonial evidence in a case in order to deter	mine (59)						ļ		
7. Supervises evidence n	or assists case investigators in order to establish facts and document ecessary in the preparation of a criminal case.	(65)								
8. Consults w	rith superiors, technical experts, and associates.	/(71)						ļ		
his client	with the prosector and/or judge in order to have charges or sentence aga reduced in exchange for a plea of guilty or to have the case dismissed consideration.	ninst 								
	egal research.	/(17)								
 Prepares, a certain 	responds to, and files motions and/or memoranda in order to present position prior to, during, or after trial	(23)						ļ		
12. Orients wi	tnesses in order to assure that potential witnesses have a basic understanceedings and allay anxiety that might confuse them.	anding (29)								
13. Interviews	and evaluates prospective jurors.	(35)								
14. Represents	clients at trial.	(41)						ļ		
I5. Collects a disposition	and evaluates information about client needs in order to plan and recommer onal alternatives in the best interest of his client.	nd (47)								
16. Represents	s client at sentencing.	(53)				ļ				
17. Prepares,	writes, and files appeals.	(59)				ļ		 		
10 0 1	grounds and represents defendants in seeking post-conviction remedies.	/(65)						 		
18. Determines			•			L	1	11 200	 45. 1. 25. 	Law and a

Amount of Time Spent on Task:

B = A moderate amount of time

Job Title: Defender

C = A considerable amount of time

TASK STATEMENTS		Do (+)	Amount of time spent					Amount of (X) Training/Education			
MOK 31	ATEMENTS	or Don't Do (-)	on Task (see	Format Training	rmat College ining Course			About	Too		
20.	a practical calendaring of cases.	į.									
21.	Reads/evaluates/analyzes inquiries obtained from various sources, received in writing, and writes material in form of correspondence, reports, and records										
22.	Meets and communicates with LE/CJ personnel in order to keep his legal knowledge current, to enable adopting successful innovations, and to have a store of ideas for possible improvement in his work area. (23)										
23.	Meets and confers with citizens, member of the LE/CJ system or offenders in order to help prevent crime and other violations of law, and to promote a general understanding of the authorities, responsibilities, and objectives of the LE/CJ organization and system. (29)										
24.	Supervises offenders in diversion programs. / (35)										
25.	IF YOU PERFORM ADDITIONAL TASKS NOT DESCRIBED ABOVE, PLEASE DESCRIBE THEM ON THE BACK OF THIS FORM.										
					•						
					. 4						
						i i					
						- 1 t					
					i.						

MB# 043-S75013 Exp. 7/31/76 LEAA (3600-A)

KNOWLEDGE CHECKLIST

Respondent's Position_	Title	Location
Position to be rated:	Judge, Prosecutor, Defender	

This form will be used to provide information about the level of knowledge required by certain positions in the criminal justice field, and the level of knowledge normally found in newly hired personnel in those positions. The results will permit planning of further education and training programs to bring new employees up to full performance. Because of your familiarity with one of the positions under study, named in the box above, you have been selected to complete this form.

We would like you to tell us the level of knowledge that is required in order for an incumbent to function in a capable manner, with no more than the usual level of supervision provided for the job. Then we would like you to describe the level of knowledge that you have observed in personnel newly assigned to the position. Use the same scale, described below, to rate the job requirements and the proficiency level of newly hired personnel.

Expert: In-depth knowledge, including application of knowledge in unusual or complex situations.

<u>High Degree</u>: Highly knowledgeable. Can apply knowledge in some unusual or complex situations.

Moderate Degree: Has level of knowledge to perform acceptably in typical or usual situations.

<u>Slight Degree</u>: Has sufficient knowledge to function in only simple or routine situations.

None: Not required by job or learned by incumbent.

Circle one letter on the <u>Job Requirement</u> scale that you think best describes the level of knowledge required for capable performance in the position you are rating.

Circle one letter on the <u>Proficiency</u> scale that you think best describes the level of knowledge that a newly hired person usually brings to the job.

	_	
	- 1	
D	. 1	
Page	•	

Ро	sition Title Judge, Prosecutor, Defender	REQUIREMENT:							<u>:</u>	PROFICIENCY:							
		Level required for capable performance				ed		net	Level of typical newly assigned personnel								
		e e	Expo	High	Mode	Slice	None			High	Moder.	Slight	Mone	7			
Α.	Knowledge of the judicial system					/ 3		f		/ ~	/ *	/ ~					
	1. organization of the judicial system	(15)	Ε	Н	М	S	N		Е	Н	М	S	N	(16)			
	role of the court in the administration of justice	(17)	E	Н	М	S	N		E	Н	М	S	N	(18)			
	3. role of law enforcement	(19)	E	Н	М	S	N		Ε	Н	M	S	N	(20)			
	4. role of prosecutors, defenders, judges	(21)	E	Н	М	S	N		Ε	Н	М	S	N	(22)			
	5. the corrections process/probation function	(23)	E	Н	М	S	N		Ε	Н	М	S	N	(24)			
	6. interrelationship of the courts to other components of the system.	(25)	E	Н	М	S	N		Е	Н	М	S	N	(26)			
	7. the adversary process	(27)	Ε	Н	М	S	N		Е	Н	М	S	N	(28)			
	8. the jury function	(29)	Ε	Н	М	S	N		E	Н	М	S	N	(30)			
	9. the juvenile justice system	(31)	Ε	Н	М	S	N		Ε	Н	М	S	N	(32)			
В.	Knowledge of jurisdictional rules and procedures																
	1. court rules and forms	(33)	E	Н	М	S	N		Ε	Н	М	S	N	(34)			
	2. the screening and charging process	(35)	Ε	Н	М	S	N		E	Н	М	S	N	(36)			
	3. the processing of a criminal case	(37)	E	Н	М	S	N		Ε	Н	М	S	N	(38)			
С.	Knowledge of criminal law rules, theory and procedure																
	1. laws of arrest	(39)	E	Н	М	S	N		Ε	Н	М	S	N	(40)			
	2. juvenile law and procedure	(41)	Ε	Н	М	S	N		Е	Н	М	S	N	(42)			
	3. lineups and identification	(43)	E	Н	М	S	N		Е	Н	М	S	N	(44)			
	4. probable cause/causation	(45)	Ε	H	М	S	N		Ε	Н	М	S	N	(46)			
	5. search and seizure	(47)	E	Н	M	S	N		Ε	Н	М	S	N	(48)			
	6. suppression of evidence	(49)	Ε	Н	М	S	N		Ε	Н	М	S	N	(50)			

osition Title Judge, Prosecutor, Defender	JOB REQUIREMENT:			PROFICIENCY:									
	Level required for capable performance				Level of typical newly assigned personnel								
		E. E.	Hisi	We And	Sliciate	Mong	· ·		High	Modo	Slice	Mong	e /
7. rules of discovery	(51)	E	Н	М	S	N		E	Н	М	S	N	1 (
8. rules of evidence	(53)	E	Н	М	S	N		Е	Н	М	S	N	,
9. the right to counsel	(55)	Е	Н	М	S	N		E	Н	М	S	N] ,
10. due process rights	(57)	Ε	Н	М	S	N		Е	Н	М	S	N	1
ll. plea negotiation	(59)	Е	Н	М	S	N		Ε	Н	М	S	N] ,
12. the elements of a crime	(61)	Ε	Н	М	S	N		E	Н	М	S	N	1
13. mental competency/criminal capacity	(63)	Ε	Н	М	S	N		E	Н	М	S	N	
14. insanity pleas	(65)	Ε	Н	М	S	N		E	Н	М	S	N	1
15. affirmative defenses	(67)	Е	Н	М	S	N		Ε	Н	М	S	N	1
16. special defenses	(69)	E	Н	М	S	N		Е	Н	М	S	N	
17. diversion	(71)	E	Н	М	S	N		E	Н	М	S	N	
Knowledge of case preparation practices													
1. use of subpoenas	(73)	Ε	Н	M	S	N		Е	Н	М	S	N	
2. interviewing techniques	(75)	E	Н	М	S	N		Е	Н	М	S	N	
3. review of physical and testimonial evidence	(77)	E	Н	М	S	N		Е	Н	М	S	N	
utilization of investigative techniques													
4. criminalistics	(79)	Ε	Н	М	S	N		Ε	Н	М	S	N	
5. photography	(15)	E	Н	М	S	N		Е	Н	М	S	N	
6. model building	(17)	Ε	Н	М	S	N		E	Н	М	S	N	
7. forensic medicine and sciences	(19)	E	Н	М	S	N		Ε	Н	М	S	N	
8. policy regarding exercise of discretion	(21)	E	Н	М	S	N		E	Н	М	S	N	
9. selection of evidence for presentation	(23)	E	Н	М	S	N		Е	Н	М	S	N	

Page 3

E. Knowledge of legal research techniques 1. sources and understanding of laws, case materials, precedents 2. recent decisions 3. use of legal journals, encyclopedias, digests, reporters, etc. 4. sheppardizing 5. Knowledge of legal writing 1. brief writing 2. motion drafting 3. opinion writing 4. format requirements 5. uniform citation methods 6. drafting of orders 7. complaint preparation 6. Knowledge of legal proceedings 1. pretrial motions 4. warrant issuance 4. warran	Position Title Judge, Prosecutor, Defender				JOB REQUIREMENT: PROFICIENCY Level required Level of typica														
1. sources and understanding of laws, case materials, precedents							for	capa	ble	·	newly assigned								
1. sources and understanding of laws, case materials, precedents 2. recent decisions 3. use of legal journals, encyclopedias, digests, reporters, etc. 4. sheppardizing 5. Knowledge of legal writing 6. Logic Laws Laws Laws Laws Laws Laws Laws Laws					ر د د	Jagr.	45/3	Juerate	1 apt	# /	7/	ויסר	15/00	"i'	on Sant				
materials, precedents (25) E H M S N E H M S N 2. recent decisions (27) E H M S N E H M S N E H M S N E H M S N E H M S N E H M S N E H M S N E H M S N E H M S N E H M S N E H M S N E H M S N E H M S N E H M S N E H M S N E H M S N E H M S N E H M S N </td <td>Ε.</td> <td>Kne</td> <td>owledge of legal research techniques</td> <td></td> <td></td> <td></td> <td></td> <td>1</td> <td></td> <td>11</td> <td></td> <td></td> <td>/ ~</td> <td>/ ~</td> <td>/ </td> <td>1</td>	Ε.	Kne	owledge of legal research techniques					1		11			/ ~	/ ~	/ 	1			
3. use of legal journals, encyclopedias, digests, reporters, etc. (29) E H M S N E H		٦.		(25)	E	Н	M	S	N		E	Н	М	S	N	(26)			
digests, reporters, etc. (29) E H M S N E H M S N E H M S N E H M S N 4. sheppardizing (31) E H M S N E H M S N E H M S N F. Knowledge of legal writing (33) E H M S N E H M S N E H M S N 2. motion drafting (35) E H M S N E H M S N E H M S N 3. opinion writing (37) E H M S N E H M S N E H M S N 4. format requirements (39) E H M S N E H M S N E H M S N 5. uniform citation methods (41) E H M S N E H M S N E H M S N 6. drafting of orders (43) E H M S N E H M S N E H M S N 7. complaint preparation (45) E H M S N E H M S N E H M S N G. Knowledge of legal proceedings (47) E H M S N E H M S N E H M S N 2. warrant issuance (49) E H M S N E H M S N E H M S N 3. grand jury proceedings (51) E H M S N E H M S N		2.	recent decisions	(27)	E	Н	М	S	N		Ε	Н	М	S	N	(28)			
F. Knowledge of legal writing 1. brief writing 2. motion drafting 33) E H M S N E H M S N 3. opinion writing 4. format requirements 5. uniform citation methods 6. drafting of orders 7. complaint preparation 6. Knowledge of legal proceedings 1. pretrial motions 6. warrant issuance 47) E H M S N 48		3.		(29)	E	Н	М	S	N		Е	Н	М	S	N	(30)			
1. brief writing (33) E H M S N E H M S N 2. motion drafting (35) E H M S N E H M S N 3. opinion writing (37) E H M S N E H M S N 4. format requirements (39) E H M S N E H M S N 5. uniform citation methods (41) E H M S N E H M S N 6. drafting of orders (43) E H M S N E H M S N 7. complaint preparation (45) E H M S N E H M S N G. Knowledge of legal proceedings (47) E H M S N E H M S N 1. pretrial motions (47) E H M S N E H M S N 2. warrant issuance (49) E H M S N E H M S N 3. grand jury proceedings (51) E H M S N E H M S N Conduct of preliminary hearings		4.	sheppardizing	(31)	E	Н	M	S	N		Ε	Н	М	S	N	(32)			
2. motion drafting (35) E H M S N E H M S N 3. opinion writing (37) E H M S N E H M S N 4. format requirements (39) E H M S N E H M S N 5. uniform citation methods (41) E H M S N E H M S N 6. drafting of orders (43) E H M S N E H M S N 7. complaint preparation (45) E H M S N E H M S N G. Knowledge of legal proceedings (47) E H M S N E H M S N 1. pretrial motions (47) E H M S N E H M S N 2. warrant issuance (49) E H M S N E H M S N 3. grand jury proceedings (51) E H M S N E H M S N	F.	Kno	owledge of legal writing																
3. opinion writing (37) E H M S N E H M S N 4. format requirements (39) E H M S N E H M S N 5. uniform citation methods (41) E H M S N E H M S N 6. drafting of orders (43) E H M S N E H M S N 7. complaint preparation (45) E H M S N E H M S N G. Knowledge of legal proceedings 1. pretrial motions (47) E H M S N E H M S N 2. warrant issuance (49) E H M S N E H M S N 3. grand jury proceedings (51) E H M S N E H M S N conduct of preliminary hearings		1.	brief writing	(33)	E	Н	М	S	N		E	Н	М	S	N	(34)			
4. format requirements (39) E H M S N E H M S N		2.	motion drafting	(35)	E	Н	М	S	N		Е	Н	М	S	N	(36)			
5. uniform citation methods (41) E H M S N E H M S N 6. drafting of orders (43) E H M S N E H M S N E H M S N F H		3.	opinion writing	(37)	E	Н	М	S	N		Ε	Н	М	S	N	(38)			
6. drafting of orders (43) E H M S N E H M S N 7. complaint preparation (45) E H M S N E H M S N E H M S N E H M S N E H M S N E H M S N E H M S N E H M S N A S N E H M S N E H M S N E H M S N E H M S N E H M S N E H M S N E H M S N E H M S N C warrant issuance (49) E H M S N E H M S N C warrant jury proceedings (51) E H M S N C onduct of preliminary hearings		4.	format requirements	(39)	E	Н	М	S	N		Ε	Н	M	S	N	(40)			
7. complaint preparation (45) E H M S N E H M S N E H M S N G. Knowledge of legal proceedings 1. pretrial motions (47) E H M S N E H M S N E H M S N E H M S N E H M S N E H M S N E H M S N E H M S N E H M S N E H M S N Conduct of preliminary hearings		5.	uniform citation methods	(41)	Ε	Н	М	S	N		Е	Н	М	S	N	(42)			
G. Knowledge of legal proceedings 1. pretrial motions 2. warrant issuance 3. grand jury proceedings 47) E H M S N E H M S N E H M S N E H M S N E H M S N E H M S N E H M S N Conduct of preliminary hearings		6.	drafting of orders	(43)	Ε	Н	М	S	N		Е	Н	М	S	N	(44)			
1. pretrial motions (47) E H M S N E H M S N 2. warrant issuance (49) E H M S N E H M S N 3. grand jury proceedings (51) E H M S N E H M S N conduct of preliminary hearings		7.	complaint preparation	(45)	E	Н	М	S	N		E	Н	М	S	N	(46)			
2. warrant issuance (49) E H M S N E H M S N 3. grand jury proceedings (51) E H M S N E H M S N conduct of preliminary hearings	G.	Kno	owledge of legal proceedings													· · · · · · · · · · · · · · · · · · ·			
3. grand jury proceedings (51) E H M S N E H M S N conduct of preliminary hearings		1.	pretrial motions	(47)	E	Н	М	S	N		Е	н	М	S	N	(48)			
conduct of preliminary hearings		2.	warrant issuance	(49)	Ε	Н	M	S	N		Е	Н	М	S	N	(50)			
		3.	grand jury proceedings	(51)	Ε	Н	М	S	N		E	Н	М	S	N	(52)			
			conduct of preliminary hearings			7				ſ									
4. defendant rights (53) E H M S N E H M S N			4. defendant rights	(53)	Е	Н	М	S	N	1	Ε	Н	M	s	N	(54)			
5. rules governing examination of witnesses (55) E H M S N E H M S N			5. rules governing examination of witnesses	(55)	Ε	Н	М	S	N		E	Н	М	S	N	(56)			
6. police practices (57) E H M S N E H M S N			6. police practices		E	Н	М	S	N		E	н	М	S	N	(58)			
			7. rules governing probable cause	(59)												(60)			

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지역 생물을 받는 것이 되었다. 그는 것이 되었다. 그는 것이 되었다. 사람이 가는 것이 되었다. 그는 것이 되었다. 그는 것이 되었다. 그는 것이 되었다.	
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JOB REQUIREMENT: Judge, Prosecutor, Defender PROFICIENCY: Position Title Level required Level of typical newly assigned for capable performance personnel ' Moderate Slight · High · High ัร 8. filing motions E S М S (62)(61) М N Н Н Ε Ś 9. arraignment, entering of pleas S Н М N (63)Ε Н М N (64)E 10. rules governing pleas E Н М S N Н М S (66)(65) conduct of bail hearings 11. rules governing the setting of bail S Ε Н М S Ε Н М N N (68)(67)12. conditions of release S N Ε Н М S N Ε Н М (69)(70)13. community resources S N Ε Н М S N Ε Н М (71)(72)14. pre-trial investigation Ε Н S N Ε Н М S N (74)(73)М 15. bail review proceedings S Ε М S N Ε N Н (76)(75)Н М H. Conduct of trials 1. courtroom decorum S Ε Н S N (78)(77) Ε Н М N S Ε N 2. questioning of and impaneling jurors S Н М (79)E Н M N (80)Ε Н М S N orienting jurors and witnesses (15)E Н S N (16)М S 4. addressing the jury (17)Ε М N (18)Ε Н М S N Н 5. examining witnesses (19) S Ε Н М S N (20)E Н N М 6. making objections, motions Ε S Ε Н M S N (22) (21)М N Н S Ν 7. ruling on objections (23)Ε S N Ε Н M (24)Н М 8. trial tactics S E S N М (25)E Н М N H (26)9. use of expert witnesses (27)(28)Ε Н S N Ε Н M S N Μ 10. jury instructions (29)(30)Ε S Н М N E Н M S N 11. closing arguments (31)(32)Ε S H М N Ε H М S N 12. contempt powers (33)E S S (34)E Н M N Н M N legal and judicial ethics (35)(36)Ε S Ε Н M H

Page 5

osition Title <u>Judge, Prosecutor, Defender</u>	-	JOB REQUIREMENT: Level required for capable performance				PROFICIENCY: Level of typical newly assigned personnel							
		F.	His K		ر به	/ *u /	/ / ello:/	7/			Signate	Mon Won	
Knowledge of sentencing practices						1	1						1
1. pre-sentence investigations	(37)	E	Н	М	S	N	اً	Ε	Н	M	S	N	(38)
2. sentencing alternatives	(39)	E	Н	M	s	N		Ε	Н	M	S	N	(40)
3. bifurcated trials	(41)	Ε	Н	М	S	N		Ε	Н	М	S	N	(42)
4. dispositional planning	(43)	E	Н	М	S	N		Ε	Н	М	S	N	(44)
5. sentencing hearing/pronouncement	(45)	Ε	Н	М	S	N		Ε	Н	M	S	N	(46)
6. rules governing probation	(47)	Ε	Н	М	S	N		E	Н	М	S	N	(48)
7. classification and assessment of offenders	(49)	E	Н	M	S	N		Ε	Н	М	S	N	(50)
Knowledge of appellate practices			-	<u> </u>							 		1
1. court rules governing appeal	(51)	E	Н	М	S	N		Ε	Н	M	S	N	(52)
2. prepare motions, memoranda	(53)	E	Н	М	S	N		E	Н	M	S	N	(54)
3. oral advocacy	(55)	E	Н	М	S	N		Ε	Н	М	S	N	(56)
4. habeas corpus, corum nobis	(57)	Ε	Н	M	S	N		Ε	Н	М	S	N	(58)
5. post conviction remedies	(59)	Ε	Н	М	S	N		Е	Н	М	S	N	(60)
6. laws related to detainers	(61)	E	Н	М	S	N		Е	Н	М	S	N	(62)
Offender related knowledges													
1. drug or alcohol abuse	(63)	Ε	Н	M	S	N		Ε	Н	М	S	N	(64)
2. minority culture	(65)	E	Н	М	S	N		Е	Н	М	S	N	(66)
3. urban sociology	(67)	E	Н	М	S	N		E	Н	М	S	N	(68)
4. counseling techniques	(69)	E	Н	М	S	N		E	Н	М	S	N	(70)
5. juvenile	(71)	E	Н	М	S	N	-	E	Н	М	S	N	(72)
6. mental health	(73)	E	Н	М	S	N		E	н	-Mi	s	N	(74)

Page 6

Position Title Judge, Prosecutor, Defender					REC		SEWE	NT:	PROFICIENCY:							
		1				capa orma	quire ble nce	ed	newly assigned personnel							
			Expa	High	Mode	Slici	None	//.	cxpert	48/11/94	Slici	Nonc	7			
	7. educational needs assessment and services	(75)	E	Н	М	S	N	E		M	Į.	N	(76)			
	8. vocational needs and services	(77)	Ε	Н	М	S	N	E	Н	М	S	N	(78)			
	9. investigative methods & practices	(79)	Ε	Н	М	S	N	E	Н	М	S	N	(80			
L.	Knowledge of administrative matters															
	1. personnel management	(15)	E	Н	М	S	N	E	Н	M	S	N	(16)			
	2. case flow management	(17)	E	Н	М	S	N	E	Н	М	S	N	(18)			
	3. fiscal management	(19)	Ε	Н	М	S	N	E	Н	М	S	N	(20)			
	4. space and facility management	(21)	Ε	Н	М	S	N	E	Н	М	S	N	(22			
	5. jury management	(23)	Ε	Н	М	S	N	E	Н	M	S	N	(24)			
	6. systems management	(25)	E	Н	М	S	N	E	: H	M	S	N	(26)			
M.	Other															
	1.	(27)	Ε	Н	М	S	N	E	H	M	S	N	(28			
	2.	(29)	Е	Н	М	S	N	E	Н	М	S	N	(30			
	3.	(31)	E.	Н	М	S	N	E	Н	М	S	N	(32			
	4.	(33)	Ε	Н	М	S	N	E	Н	М	S	N	(34			
	5.	(35)	Ε	Н	М	S	N	E	Н	M	S	N	(36			
	6.	(37)	Ε	Н	М	S	N	E	Н	M	S	N	(38			
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KNOWLEDGE CHECKLIST

Respondent's Position		
	Title	Location
Position to be rated:	Court Administrator	

This form will be used to provide information about the level of knowledge required by certain positions in the criminal justice field, and the level of knowledge normally found in newly hired personnel in those positions. The results will permit planning of further education and training programs to bring new employees up to full performance. Because of your familiarity with one of the positions under study, named in the box above, you have been selected to complete this form.

We would like you to tell us the level of knowledge that is required in order for an incumbent to function in a capable manner, with no more than the usual level of supervision provided for the job. Then we would like you to describe the level of knowledge that you have observed in personnel newly assigned to the position. Use the same scale, described below, to rate the job requirements and the proficiency level of newly hired personnel.

Expert: In-depth knowledge, including application of knowledge
in unusual or complex situations.

<u>High Degree</u>: Highly knowledgeable. Can apply knowledge in some unusual or complex situations.

Moderate Degree: Has level of knowledge to perform acceptably in typical or usual situations.

Slight Degree: Has sufficient knowledge to function in only simple or routine situations.

None: Not required by job or learned by incumbent.

Circle one letter on the <u>Job Requirement</u> scale that you think best describes the level of knowledge required for capable performance in the position you are rating.

Circle one letter on the <u>Proficiency</u> scale that you think best describes the level of knowledge that a newly hired person usually brings to the job.

Page	. 1	

Position Title Court Administrator					REC	2UIF	REM	EN	T:	F	RO	FICI	ENC	<u>Y:</u>
	Level required Level of t for capable newly assi performance personnel													
			Expe	High	Mode	Sincipate	Mon	<u> </u>		High	Mode	Sifoti	Mone	7
A. Kn	owledge of the judicial system													
1.	role of the court in the administration of justice	(15)	E	Н	М	s	N		Ε	Н	M	S	N	(16)
2.	court organizations and functions	(17)	Ε	Н	М	S	N		Ε	Н	M	S	N	(18)
3.	<pre>interrelationship of the courts to other components of the system</pre>	(19)	E	Н	М	s	N.		Е	Н	М	S	N	(20)
4.	role of law enforcement	(21)	Ε	Н	М	S	N		Ε	Н	М	S	N	(22)
5.	role of prosecutors, defenders	(23)	Ε	Н	М	S	N		Е	Н	М	S	N	(24)
6.	the corrections process/probation function	(25)	Ε	Н	М	S	N		Е	Н	M	S	N	(26)
7.	the adversary process	(27)	Ε	Н	М	S	N		Ε	Н	М	S	N	(28)
8.	the jury function	(29)	Ε	Н	М	s	N		Ε	Н	М	S	N	(30)
9.	the juvenile justice system	(31)	Ε	Н	М	S	N		Е	Н	М	S	N	(32)
10.	rules, statutes, code affecting court operations	(33)	Ε	Н	М	S	N		Ε	н	М	S	N	(34)
11.	criminal law and procedure	(35)	E	Н	М	S	N		Е	Н	М	S	N	(36)
B. Kn	owledge of internal rules and procedures													
1.	court rules	(37)	Ε	Н	М	S	N		E	Н	М	s	N	(38)
2.	appropriate forms	(39)	E	Н	М	\S	N		Е	Н	М	S	N	(40)
	procedures related to:													
	3. traffic	(41)	Ε	Н	М	S	N		E	Н	М	S	N	(42)
	4. domestic relations	(43)	Ε	Н	М	S	N		E	Н	М	S	N	(44)
•	5. guardianship	(45)	Ε	Н	М	S	N		E	Н	· M	S	N	(46)
	6. juvenile matters	(47)	Е	Н	М	S	N		Е	Н	М	S	N	(48)
	7. functions of the clerk's office	(49)	Ε	Н	М	S	N		E	Н	М	S	N	(50)
								, J.,						

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KNOWLEDGE CHECKLIST

Po	sitio	n TitleCourt Administrator				REC		OB REM	EN	<u>T:</u>	_			ENC	
						Leve for perf	сара	ble	ed		ne		ass'	typi igne	
				Eyn	High The Property of the Prope	Mode	Syle	None	· /	Expo	Hay.	Mode	Sylate	None	7
C.	Kno	owledge of case-flow management							1			/ <u> </u>	/ -2		
	1.	intake procedures	(51)	Ε	H	M	S	N		Ε	Н	M	S	N	(52)
	2.	case processing	(53)	Ε	Н	М	S	N		Ε	Н	M	s	N	(54)
	3.	records maintenance	(55)	Ε	Н	M	S	N		Ε	Н	М	S	N	(56)
	4.	calendaring	(57)	Ε	Н	M	S	N-		Е	Н	M	S	N	(58)
	5.	utilization of computers, ADP systems	(59)	Ε	Н	М	S	N		Ε	Н	М	S	N	(60)
D.	Kno	owledge of personnel management										Ų.			
	į.	rules and practices governing personnel	(61)	Ε	Н	М	S	N		Ε	Н	М	S	N	(62)
	2.	unionization/collective bargaining	(63)	Ε	Н	М	S	N		Ε	Н	М	S	N	(64)
	3.	career progression	(65)	Ε	Н	М	S	N		Ε	Н	М	S	N	(66)
	4.	job descriptions/analysis	(67)	Ε	Н	М	s	N		Ε	Н	М	S	N	(68)
	5.	evaluation	(69)	Ε	Н	М	S	N		E	Н	М	S	N	(70)
	6.	training needs and practices	(71)	Ε	Н	М	S	N		Ε	Н	М	S	N	(72)
	7.	affirmative action programs/EEOC	(73)	Ε	Н	М	S	N		Ε	Н	М	S	N	(74)
	8.	personnel motivation	(75)	Ε	н	М	S	N		Е	Н	М	S	N	(76)
	9.	systems and classification (pay)	(77)	Ε	Н	М	s	N		Ε	н	М	S	N	(78)
E.	Kno	owledge of fiscal management											-,		10
-	1.	funding sources, resources-local, state, federal	(79)	Ε	н	W	S	N		Е	н	М	S	N	(80)
	2.	the funding process	(15)	Ε	Н	М	S	N		Ε	н	М	S	N=	(16)
	3.	assessment of need	(17)	Ε	н	М	S	N	20	Ε	Н	М	S	N	(18)
	4.	budget preparation, justification	(19)	Ε	Н	М	S	N		Е	Н	М	S	ู๊ฟ	(20)
	5.	maintenance of internal fiscal administration	(21)	Ε	Н	M	s	N	w.	Ε	н	М	S	N	(22)

KNOWLEDGE CHECKLIST

Court Administrator REQUIREMENT: PROFICIENCY: Position Title Level required Level of typical for capable newly assigned performance personne l S 6. accounting and auditing systems Ε S (24)(23)Н M N 7. payroll systems for employees Ε S E H М S N Н M N (25)(26)8. disbursement practices E М S N Ε Н M S N Н (28)(27)9. appropriate records and forms S Ε Н M N Ε М S N Н (30)(29)10. contract services S N Ε Н M S N E Μ Н (31) (32)F. Knowledge of space and facility management space needs and room assignments M S N Н E Н M (34)(33)S space design Ε Н N E H M S N Μ (35)(36)local codes and zoning S E Н М S N E Н М N (37) (38)4. building and courtroom security S Ε Н Ŝ N Ε M N Μ Н (39) (40)G. Knowledge of jury management 1. requirements of the system for juries E Н М S S N (41) E Н М N (42) 2. rules related to notice, qualifications S E Н S N E Н М N (44) (43) 3. excusing jurors S E Н М N S N Ε Н М (46)(45)4. orientation Ε Н S N S Μ (47)E Н М N (48)5. pay system for jurors S E Н М S N Ε M N (49)Н (50) 6. accommodations, space, food, transportation, S S Ε H M N Ε Н М N (52) (51) 7. rules related to sequestration, security S E Н Mi N (54) (53)Ε Н M N H. Knowledge of support service management 1. needs assessment E H M N S (56) (55) E H M N 2. procurement, distribution, inventory S E S H M N (57)E Н М N (58) various support service resources, e.g., E S M Н М Н E court reporters, duplication facilities, etc. (60) (59)

KNOWLEDGE CHECKLIST

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Positi	on Title Court Administrator	**************************************			RE		REM	EN	IT:	(PRO	FICI	ENC	Y:
					for peri	capa orma	equi able ance	red		ne	vel wly erson	of ass	typi igne	cal d
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4	. equipment utilization	(61)	E	H	M.	S	N	1	E	H	M	S	N	(62)
5	. care, maintenance	(63)	E	Н	M	S	N		Ε	Н	М	S	N	(64)
I. Kı	nowledge of planning and evaluation													
1.	. goals and objectives	(65)	E	Н	M	S	N		Ε	Н	M	S	N	(66)
2.	current literature	(67)	Ε	Н	М	s	N		E	Н	М	S	N.	(68)
3	needs analysis	(69)	E	Н	М	S	N		E	Н	М	S	N	(70)
4	recent trends and innovations	(71)	E	Н	М	S	N		Ε	Н	М	S	N	(72)
5	proposal writing	(73)	E	Н	М	S	N		Ε	Н	М	S	N	(74)
6	information compilation	(75)	E	Н	М	s	N		E	Н	М	S	N	(76)
7	performance evaluation	(77)	Ε	Н	М	s	N		E	Н	М	S	N	(78)
8	systems analysis	(79)	E	Н	М	S	N		E	Н	М	S	N	(80
J. Kı	nowledge of systems management				-							1		
1	instructing employees	(15)	Ε	Н	М	S	N		Ε	Н	М	S	N	(16)
2	managing system components	(17)	Ε	Н	М	S	N		Ε	Н	М	S	N	(18)
3	communicating with outside groups	(19)	Ε	Н	М	S	N		E	Н	М	S	N	(20)
4	communicating with judicial personnel	(21)	Ε	Н	М	S	N		Ε	Н	М	S	N	(22)
5	dealing with the media	(23)	Ε	Н	M	S	N		Е	Н	М	S	N	(24)
6	report and memo writing	(25)	E	Н	М	S	N		Ε	Н	М	S	N	(26)
7	conducting staff meetings	(27)	Ε	Н	М	S	N		Ε	Н	М	S	N	(28)
K. 0	ther													+ 6 %
1.	research principles	(29)	Ε	Н	М	S	N		E	H	, M	S	N	(30)
2	statistics	(31)	Ε	Н	M	s	N	Ŀ	E	Н	M	S	N	(32)
3	. public relations	(33)	E	Н	М	S	N		Ε	Н	M	S	N	(34)
4.	drafting (rules, legislation, etc.)	(35)	E	Н	M	S	N		E	H	M	S	N	(36)
						41 5		4 St						

AGENCY SURVEY REPORT FORM

Judicial Process

Courts

A1.	Person to be contacted concerning this survey:
A2.	Position (Job Title)
A3.	Address:
Á4.	Telephone Number: ()
	Name of the Court: (e.g., Greenville County Municipal Court; Fourth Judicia Circuit Court of Florida)

ВΊ.	Briefly describe the geographic area over which this court has jurisdiction using specific names where appropriate: (e.g. Laramie County, Melnot Township, City of Alexandria).
B 2.	What is the approximate resident population and the square miles of this geographic area?
B3.	Please check which of the following is most descriptive of this geographic area. () Central city within a metropolitan area () Central city in rural area () Urban area including central city () Urban area outside central city () Urban area in non-metropolitan area () Rural area outside central city () Rural area in non-metropolitan area
В4.	How are criminal courts of general jurisdiction organized in this state? (e.g., 22 circuit courts sitting in 18 locations) &
B 5.	How are criminal courts of limited jurisdiction organized in this state? (e.g., 31 general district courtsone in each county).
В6.	<pre>In this state who has jurisdiction over matters pertaining to juveniles? Check all that apply. () general jurisdiction courts () limited jurisdiction courts () separate juvenile courts</pre>
B7.	If there is a separate juvenile court how is it organized? (e.g., one juvenile and domestic relations court for each judicial circuit).

в8.	Check the box	(es) below that b	est describe th	e jurisdiction of this cour	t.
	☐ gene	ral jurisdiction	courtcivil &	criminal matters	
	☐ gene	ral jurisdiction	courtcriminal	only	
	☐ limi	ted jurisdiction	courtcivil and	d criminal	
	☐ limi	ted jurisdiction-	criminal only		
	_	nile court			
		fic court			
	-		/		
		,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,			
					•
		•			
B9.				sdiction. (For example, ex	
	original juri	sale from over let	ionies and civii	matters from \$25 to \$10,00	10.)
Case	eload Data				
C1.	On the averag	e for the previou	us calendar or f	iscal year (fill in specifi	ic dates)
	there for:	, 19 to		, 19, how many case fi	ilings were
	chere ror.		Number	<u>Percent</u>	
	misd	emeanors		·	
	felo	nies			
	traf	fic			
	juve	nile			
	civi	1			
		r, specify		· · · · · · · · · · · · · · · · · · ·	
	0 01.10	, ,			
	* **				
		· · · · · · · · · · · · · · · · · · ·			
C2.				you estimate the number of e.g. habeas corpus, prison	
	conditions, e	etc.).	Just te Issues (e.g. habeas corpus, prison	
				an harming reference what	240
63.				or hearing referees, what a hearings, take evidence, o	
		(2.7)			,
	*************************************	<u> </u>			
C4.	What percenta	ige of referee de	cisions are appe	aled?	%

A list of different judicial functions is presented in the chart below. For courts of general and limited jurisdictions and for courts with juvenile jurisdiction, check (\checkmark) all functions that are performed by this court.

Functions	General Jurisdiction Jurisdicti		Jurisd	ited liction urt	Separate Juvenile Court			
	Felony	Misdem.	Felony	Misdem.	Delinq. Proced.	PINS		
Warrants	_							
Magistrate Hearings				İ				
Presentments/First Arraignments								
Preliminary (Probable Cause) Hearings								
Second Arraignment Hearings								
Bail Hearings								
Omnibus Hearings/ Pretrial conferences								
Trials								
Sentencing Hearings								
Trial de Novo/Appeals from Lower Court			<u> </u>	5				
Probation Services								
Juvenile Referee Hearings						4.0		
Sentencing (if separate)	The second secon							

Employment in the Agency

This section deals with current, past and projected employment for the court and key judicial occupations. For purposes of this survey, the key occupations in the court area are described here. Information about these key occupations is requested in this Section,

Professional Court Administrator: This category includes professional managerial staff concerned with caseflows, personnel management and non-judicial proceedings business of a court or court system. Positions included in this category are Administrative Director, Executive Secretary, Judicial Administrator, Administrative Assistant to the Courts, Deputy Asst. Administrators, Assistant Secretaries, etc. May include Clerk of Court.

<u>Judge--Court of General Jurisdiction</u>: This category includes jurists who advise, arbitrate and administer justice in criminal matters before a court of general jurisdiction. Positions included in this category are District Court Judge, County Court Judge, Circuit Court Judge, Superior Court Judge, Judge in the Court of Common Pleas, etc.

Judge--Court of Limited Jurisdiction: This category includes those exercising judicial authority over criminal matters in courts of limited or special jurisdiction. Positions in this category include: Magistrate, District Justice, Municipal Court Judge, Justice of the Peace, Judge - County Court, Judge - Police Court, Judge - City Court, Judge - Justice Court, etc.

<u>Judge--Juvenile Court</u>: This category includes those jurists exercising judicial authority in juvenile matters including delinquency and status offenses in a separate juvenile court. Positions in this category may include juvenile court judge, master, referee, commissioner, etc.

This chart deals with past, current, and projected employment for this court and key occupations within the judicial process.

D1. Please indicate how many persons were, are, or will be employed by this court at the end of each fiscal or calendar year (fill in appropriate dates below).+

	1973	1974	1975	19760
Total Staff (judicial and non-judicial)				
Judge - Court of General Jurisdiction				
Judge - Court of Limited Jurisdiction				
Judge - Juvenile Court				

@Projected estimates of staff employed

NOTE: For any key occupation that is not included in the agency, write N/A (Not Applicable) in the 1st space under the column heading for that job.

IF SPECIFIC EMPLOYMENT INFORMATION IS NOT AVAILABLE FOR ANY OF THE DATES REQUESTED, PLEASE INCLUDE ESTIMATES. STAR (*) ALL ESTIMATES.

	_									
	General	Jurisdic	tion		Limi	ted Juris	sdiction_		_Juvenile	Juris
UZ.	THOW Illa!	ly Judges	are t	empora	rlly	assigned	to this	Court	at this	cille:

D3.	Do your jud	lges rotate	among	assignments	(e.g.	juvenile,	civil,	criminal)?
	Yes		No					

04. If	Yes,	how	often	do	they	rotate?	
--------	------	-----	-------	----	------	---------	--

D5.	How	is	this	rotation	determined		
-----	-----	----	------	----------	------------	--	--

D6. Please indicate approximate % of time that the following classes of employees spend on civil, criminal and juvenile matters:

	Civil	Criminal	Juvenile
Total Staff	%	%	%
Court Administrator	%	%	%
Judge - Court of General Jurisdiction	%	%	%
Judge - Court of Limited Jurisdiction	%	%	%
Judge - Juvenile Court	%	%	%
	<u> </u>		

To provide additional background information, please attach a copy of the agency's organizational (staffing) chart and most recent Annual Report with this survey form. If similar charts and reports are available for 1970 or 1971 please also attach.

E.	Voluntary	resignations
C.	voluntary	162 Idia ciona

One of the issues of concern is the ability of Judicial Process agencies to attract and retain good quality employees for key jobs. An indication of this factor is the number of employees who leave voluntarily.

Considering Judge--Court of General Jurisdiction, Court of Limited Jurisdiction or Juvenile Court in the previous table, please provide information on total separations and the number of individuals who resigned voluntarily, or left for other reasons during the two periods indicated below.

El. Number of Voluntary Resignations and Other Separations

		Fiscal	or cal	endar	years	ending a	as of
			, 1973			, 197	4
		Ju	dges		J	udges	
				a	·		a l
		ral s. t	ted s. t	nil t	ral s. t	ted t	lt il
		General Juris. Court	Limited Juris. Court	Juvenile Court	General Juris. Court	Limited Juris. Court	Juvenile Court
•		తాన	<u> </u>	50	<u> </u>	150	50
		-					
	Total Separations				, , , , , , , , , , , , , , , , , , ,		
	Voluntary Resignations			,		<u> </u>	2
	Retirements						
	All Other	}					
٠		<u> </u>	L	l	<u> </u>	<u> </u>	
	If your agency has made a study in	the past	five ve	ears (of turno	over of	iudaes
	can a copy be made available?						V
	New Hires						
	newly				_		
	How many Judges were appointed or e	lected du) from	iring f	iscal	or cale	endar ye	ear 197
	and 1974 (fill in appropriate dates Exclude re-elected and reappointed)	judges -	as they	are	cons i de	red to 1	nave pr
	experience. 1973 1974						•
2-3.	Judges						
				1 1 1	وم فران م فرموره	Lian	
4-5.	Judges Judges				urisaic	LION	

How many of these <u>newly</u> appointed or elected judges had previous experience in jobs similar to those for which they were hired in 1973 and 1974? <u>Exclude</u> re-elected and reappointed judges.

	1973	1974	
E8-9.	(JudgesCourt of General Jurisdiction
E10-1	1	«Менер на применение	JudgesCourt of Limited Jurisdiction
E12-1	3		JudgesJuvenile Court
E14.	Research and Pl Is there a sepaYes		ch and planning unit for the court?
E15.	If yes, ho		-time equivalent staff (excluding clerical)

Training Budget Information

Does your agency have a separate budget or accounting item for training costs? Yes No . If there is a separate accounting item for training answer the questions below, if the information is available.

	<u>Current Fiscal Year</u> , 19 to, 19
<pre>What was the agency TOTAL operating* budget? a. How much for salaries & fringe? b. How much for other operating?</pre>	\$\$ \$\$
What was the agency operating budget for training?	\$
Check costs that are included in the training budget. Include amounts if available. Salary of training staff	•
Cost of outside training (including travel)	\$
Salary of trainees	\$
Purchase of supplies and materials	\$
Check the types of training that are included in the budget.	
entry level training	
in-service training	
other, please specify	
What sources of funds for training have you used in the current fiscal year? (Check all that apply.)	
Federal funds:	Amount (if known)
LEAA	\$
Other (specify)	\$
State funds	\$
County funds	\$
Local funds	\$
Local lunds	

^{*}Includes salaries, payroll, and the purchase of supplies, materials and contractual services. Excludes capital outlays.

AGENCY SURVEY REPORT FORM

Judicial Process

Prosecutor's Office

			•					101	
				<i>a</i>)					
Position (Job	Title)			· · · · · · · · · · · · · · · · · · ·		·	·		· ·
			A &	· · · · · · · · · · · · · · · · · · ·	1+h	ludicial	Circui	it of	Maxi
Agency Title	(e.g., Sta	ate's Attor	ney ut	Tice -	4011 0	Judicia	Circui		Liet 3
Agency Title	(e.g., Sta	ite's Attor	ney ut	Tice -	4611 (Juulcia	CITCU	10 01	
Agency Title	(e.g., Sta	ite's Attor	ney ur	Tice -	4611 (Judicia	, CITCU		
	(e.g., Sta	ate's Attor	ney ur	Tice -	4611 (Judicia	CITCU		rial j
Agency Title Address:	(e.g., Sta	ate's Attor	ney ut	Tice -	4611 (- Indicial	Circu		

2.	What is the approximate resident population and the square miles of this geographic area?
v L	Please check which of the following is most descriptive of this geographic
•	area.
	() Central city within a metropolitan area
	() Central city in rural area
	() Urban area including central city
	() Urban area outside central city
	() Urban area in non-metropolitan area
7/	() Rural area outside central city
•	() Rural area in non-metropolitan area
•	one deputy asst., 10 assistants in trial teams by special area such as
	one deputy asst., 10 assistants in trial teams by special area such as
	one deputy asst., 10 assistants in trial teams by special area such as juvenile, misdemeanors and felonies). Please attach organization chart o
* * * * * * * * * * * * * * * * * * * *	one deputy asst., 10 assistants in trial teams by special area such as juvenile, misdemeanors and felonies). Please attach organization chart o manning table if available.
· ·	one deputy asst., 10 assistants in trial teams by special area such as juvenile, misdemeanors and felonies). Please attach organization chart o manning table if available. What is the jurisdiction of the courts served by this office?
	one deputy asst., 10 assistants in trial teams by special area such as juvenile, misdemeanors and felonies). Please attach organization chart o manning table if available. What is the jurisdiction of the courts served by this office? Limited ①
	one deputy asst., 10 assistants in trial teams by special area such as juvenile, misdemeanors and felonies). Please attach organization chart o manning table if available. What is the jurisdiction of the courts served by this office? Limited General General
	one deputy asst., 10 assistants in trial teams by special area such as juvenile, misdemeanors and felonies). Please attach organization chart o manning table if available. What is the jurisdiction of the courts served by this office? Limited
	one deputy asst., 10 assistants in trial teams by special area such as juvenile, misdemeanors and felonies). Please attach organization chart o manning table if available. What is the jurisdiction of the courts served by this office? Limited
	one deputy asst., 10 assistants in trial teams by special area such as juvenile, misdemeanors and felonies). Please attach organization chart of manning table if available. What is the jurisdiction of the courts served by this office? Limited

Felony	Micdom			Sepa Juvenil Felony		•
	inisuen.	Felony	Misdem.	Felony	Misdem.	PINS
<u> </u>						
					· · · · · · · · · · · · · · · · · · ·	
						6
			 			
1						
<u> </u>						
						
rmal cha	rges mad	le in th	is offic	e? Des	cribe br	•ief1 - - %
_how ma others classe	ny cases or initi s of off	were rated by enses.*	eferred your ow In how	to your n inves many o	tigation f these).
	7					
included	above)					
luded ab	ove)	ा हुन्दर इस	6	12,14	° 6 18 ° 9 ° 9 ° 9 ° 9 ° 9 ° 9 ° 9 ° 9 ° 9 °	
				, , , , , , , , , , , , , , , , , , ,		
	ndar yea how ma others g classe ht?	mal charges made and ar year (fill how many cases others or initing classes of off ht?	rmal charges made in the many cases were rothers or initiated by classes of offenses.* ht? referre included above) luded above)	rmal charges made in this office and ar year (fill in specific date how many cases were referred others or initiated by your owg classes of offenses.* In how hat? referred forma included above luded above	mal charges made in this office? Des Indar year (fill in specific dates) how many cases were referred to your others or initiated by your own invest of classes of offenses.* In how many ont? Included above) Included above)	rmal charges made in this office? Describe brondar year (fill in specific dates) how many cases were referred to your office others or initiated by your own investigation g classes of offenses.* In how many of these ht? referred [formal charges brough included above]

D3.	What percentag	e of civil c prisoner's	ases involutions in the second	ed criminal	justice is _%	sues (e.g	- 9		
D4.	Please indicat during this ti to	e the dispos me period (p , 19	isposition of cases where formal charges were brought od (please specify dates, 19						
•		ì	Misd.	Felonies	Juvenile	Traffic	Other		
No Pape	ered (Nolle Pros	sequi)							
Dismiss	sed								
Pleaded	d Guilty as char	ged							
Pleaded	d Guilty (reduce	ed charge)							
Found (Guilty (Court)				·				
Found	Guilty (Jury)								
Not Gu	ilty (Court)								
Not Gu	ilty (Jury)								
Not Gu	ilty (insanity,	etc.)							
Dismis	sed (appeal)								
Change	of venue	•							
Pendin	g disposition								
	5. What is the to trial?		needed by	this office	to formall	y bring a	case		
es.	Misdeme	eanors	*						
Ç.		1 to 15 da	ys						
		16 to 30 da	ys						
		31 to 45 da			n				
•		46 to 60 da	ys						
		61 to 90 da							
· Ay		More than 9	0 days						
r P _{es}	Feloni	a c							
	reioni	:s 1 to 15 da	ive						
5 S		16 to 30 da	_	•,					
		31 to 45 da		•					
e Light State of the Control		46 to 60 da							
		61 to 90 da							
		More than 9							
		inore chair a	o days						

 $\mathcal{C}_{\mathcal{C}}$

Employment in the Age	ency			
This section deals wi	th employment	for key prosect	ution occupation	ons.
<u>Prosecutor</u> . This cat tion, usually elected in this category may prosecutor, etc.	l, and the prin	cipal law enfor	rcement offici	al. Position
<u>Deputy Assistant Pros</u> chief assistants prim duties who may also p	arily responsi	ble for admini:	ndividuals des strative and s	ignated as upervisory
Assistant Prosecutor. for the day to day pr in this category incl attorney, deputy assi	osecution and ude: assistan	trying of alleg t state's atto	ged law violati rnev. assistan	ors. Position t district
Investigator. This c prosecutors in the th may include interview subpoenas, etc.	orough investi	gation and prep	paration of a	case. Duties
Paralegals (not law sengaged in research adocuments, motions, i Law Interns. This capfices who are engage	nd case prepara nterviewing of tegory includes ed in research	ation, including victims, wither students are preparation as	ng the preparatesses, etc. working in product of the product of t	tion of legal osecutor's trial assistan
or Calendar	n Key Prosecut Years 1973 - 19 5 and 1976 may	ion Occupations 976. (Fill in	at <u>End</u> of Fi	iscal
Prosecutor	1375	, 19/4	, 13/3	, 1370
Deputy Asst.Pros.				
Asst. Prosecutor(s)				
Investigator(s)				
Paralegal(s)				
Law Intern(s)				es e.
Other Support Staff	i (i			
(non-clerical)			التراوي والمراوي والمراوي والمراوي والمراوي والمراوي والمراوي والمراوي والمراوي والمراوي والمراوي والمراوي	

To provide additional background information, please attach a copy of the agency's organizational (staffing) chart and most recent Annual Report with this survey form. If similar charts and reports are available for 1970 or 1971 please also attach.

<u>Part-Time Workers</u>. If some attorneys who are employed as prosecutors work part-time, please estimate the average number of hours worked per week.

Turnover - Voluntary resignations

One of the issues of concern is the ability of Judicial Process agencies to attract and retain good quality employees for key jobs. An indication of this factor is the number of employees who leave voluntarily.

Considering only the total of all attorneys (both full and part-time) who work as prosecutors or assistant prosecutors, please provide information on the number of individuals who quit voluntarily, and for other separations, curing the two periods indicated below.

Number of Voluntary Resignations and Other Separations of All Attorneys

Fiscal or Calendar years ending as of

Total Separations of Attorneys
Voluntary Resignations
Retirements
All Other

	, 1973		1974
Full Time	Part Time	Full Time	Part Time
			•
. :			
	 	 	

If your agency has made a study in the past five years of the turnovemployed attorneys, can a copy be made available?	ver of
New Hires	
How many attorneys were hired for prosecution duties during fiscal of years 1973 and 1974 (fill in appropriate dates) from? Hires in 1973: Hired in 1974:	or calendar to
Approximately how many of newly hired attorneys had previous explinitrying criminal cases? Of those hired in fiscal or calendar year and 1974 (fill in appropriate dates) from to in 1973; in 1974.	perience rs 1973

Training Budget Information

Does your agency have a separate budget or accounting item for training costs? **Yes_____** No___. If there is a separate accounting item for training answer the questions below, if the information is available.

			Cı	ırrer	it Fi	scal	Year
			•	19_	t	o	, 19
,	What was the agency TOTAL operating* budget?	\$					· · · · · · · · · · · · · · · · · · ·
	a. How much for salaries & fringe?	\$					
	b. How much for other operating?	\$,	
•	What was the agency operating budget for training?	\$_				•	·
•	Check costs that are included in the training budget. Include amounts if available.						<u> 19</u>
	Salary of training staff	\$					
	<pre>Cost of outside training (including travel)</pre>	\$_					
	Salary of trainees	\$					
	Purchase of supplies and materials	\$					·
•	Check the types of training that are included in the budget.	•					
٠	entry level training						
	in-service training	•			5		
	other, please specify						
•	What sources of funds for training have you used in the current fiscal year? (Check all that apply.)						
	Federal funds:		,	Amou	nt (if k	nown)
	LEAA	\$_					
	Other (specify)	\$_				. 1	
	State funds	\$					
	the state of the s						
	County funds	\$					0
	County fundsLocal funds	\$_ \$_					۵

^{*}Includes salaries, payroll, and the purchase of supplies, materials and contractual services. Excludes capital outlays.

AGENCY SURVEY REPORT FORM

Judicial Process

Defender Services

Position (Job 1	itle):	
Agency Title (e	e.g. Office of the	Public Defender, Suffolk County
Address:		
-		
· · · · · · · · · · · · · · · · · · ·		

		Į.
	the approximate resident population of this geographic area?	<u>_</u> _a
Please area.	check which of the following is most descriptive of this ge	ograph
() Central city within a metropolitan area	
() Central city in rural area	
() Urban area including central city	
() Urban area outside central city	
() Urban area in non-metropolitan area	
() Rural area outside central city	
() Rural area in non-metropolitan area	
Check w	hich of the following best describes the jurisdiction of th	e cour
() general jurisdiction courtcivil & criminal matters	
() general jurisdiction courtcriminal only	
() limited jurisdiction courtcivil and criminal	
•) limited jurisdictioncriminal only	
<i></i>) juvenile court	
() traffic court	
• () Other, please specify	
example distric	the provision of defense services organized in this state?"legislatively created state defender with offices in eac t," or "mixed defender and assigned counsel system".) (Also r students in court, etc.)	h judi
How is trial t	this defender service office organized? (For example, a cheam consisting of 2-3 defenders per court division, or divianor, felony, family divisions, etc.) Attach organization	ief ar ded ir

At what stage of the judicial at arraignment).		ss? (For		e, at pre	sentment	or
lere is a list of different judio proceedings in which members of					(√) al	
		d Juris-				rate
Functions		n Courts			1	
resentments *	relony	Misdem.	retony	misaem.	retony	in i suem.
relim.(Probable Cause Hearings)						
rraignment Hearings (second)					ļ	
ail Hearings					 	
uvenile Court						<u> </u>
rial					 	
entencing Hearings						
ppeals						
pecial Hearings/Petitions						
Pre-trial motions						
Prisoner rights					<u> </u>	
Postconviction (e.g., Habeas Corpus)						
ental Health		•				
ervice of Process						
First arraignment	•	•	•			

								
}.		ntage of indigent cases ervice and what percent						· · ·
			Defender Se	ervice {	Assigned	Coun	sel	
	•	Juvenile cases	%			%	-	
		Misdemeanors	%			%		
		Felonies	%			%		
١.	•	evious fiscal or calend , 19, to , this office?	dar year (fi					
		How many of these	e were juven	ile cases	?			
		How many of these	e were misder	meanors?_				
		How many of these	e were felon	ies?				
5.	What was t	How many of these he disposition of cases ar clients for the pre-	s (by number) where f	ormal cha dar year	arges used	were by above?	 rough
5 .	What was t against you	he disposition of cases	s (by number) where f	dar year	used	were by above? Traffic	
5.	against you	he disposition of cases	s (by number vious fiscal) where for calend	dar year	used	above?	
5.	against you	he disposition of cases ur clients for the pre	s (by number vious fiscal) where for calend	dar year	used	above?	
5.	against you	he disposition of cases ur clients for the pre-	s (by number vious fiscal sequi)) where for calend	dar year	used	above?	
	against you	he disposition of cases ur clients for the pres No Papered (Nolle Pros Dismissed	s (by number vious fiscal sequi)) where for calend	dar year	used	above?	
	against you	he disposition of cases ur clients for the pres No Papered (Nolle Pros Dismissed Pleaded Guilty as char	s (by number vious fiscal sequi)) where for calend	dar year	used	above?	
5.	against you	he disposition of cases ur clients for the pres No Papered (Nolle Pros Dismissed Pleaded Guilty as char Pleaded Guilty (reduce	s (by number vious fiscal sequi)) where for calend	dar year	used	above?	
5.	against you	he disposition of cases ur clients for the pres No Papered (Nolle Pros Dismissed Pleaded Guilty as char Pleaded Guilty (reduce Found Guilty (Court)	s (by number vious fiscal sequi)) where for calend	dar year s Juven	used	above?	
5.	against you	he disposition of cases ur clients for the pres No Papered (Nolle Pros Dismissed Pleaded Guilty as char Pleaded Guilty (reduce Found Guilty (Jury)	s (by number vious fiscal sequi)) where for calend	dar year s Juven	used	above?	
5.	against you	he disposition of cases ar clients for the pres No Papered (Nolle Pros Dismissed Pleaded Guilty as char Pleaded Guilty (reduce Found Guilty (Court) Found Guilty (Jury) Not Guilty (Court)	s (by number vious fiscal sequi)) where for calend	dar year s Juven	used	above?	
5.	against you	he disposition of cases ar clients for the pres No Papered (Nolle Pros Dismissed Pleaded Guilty as char Pleaded Guilty (reduce Found Guilty (Court) Found Guilty (Jury) Not Guilty (Jury)	s (by number vious fiscal sequi)) where for calend	dar year s Juven	used	above?	
5.	against you	he disposition of cases ar clients for the pres No Papered (Nolle Pros Dismissed Pleaded Guilty as char Pleaded Guilty (reduce Found Guilty (Court) Found Guilty (Jury) Not Guilty (Jury) Not Guilty (Jury) Not Guilty (Jury)	s (by number vious fiscal sequi)) where for calend	dar year s Juven	used	above?	
5.	against you	ne disposition of cases ar clients for the pres No Papered (Nolle Pros Dismissed Pleaded Guilty as char Pleaded Guilty (reduce Found Guilty (Court) Found Guilty (Jury) Not Guilty (Jury) Not Guilty (Jury) Not Guilty (Jury) Not Guilty (insanity, Dismissed (appeal)	s (by number vious fiscal sequi)) where for calend	dar year s Juven	used	above?	

Employment in the Agency

This section deals with employment for key defender occupations. For purposes of this survey, the key occupations in the court area are described here.

Chief Defender. This category includes the chief defender in a given jurisdiction responsible for managing the provision of defense services. Positions in this category may include: public defender, director, defender services, etc.

<u>Deputy Asst. Defender</u>. This category includes defenders who are primarily responsible for administrative and supervisory duties and may not carry a full caseload.

Assistant Defender. This category includes all staff attorneys responsible for the day to day provision of defense services to appointed or assigned cases. Positions in this category include: deputy public defender; assistant defender, etc.

<u>Investigator</u>. This category includes individuals responsible for assisting defenders in the thorough investigation and preparation of a case. Duties may include interviewing witnesses, collecting physical evidence, serving subpoenas, etc.

<u>Paralegal</u> (not law student). This category includes individuals who are engaged in research and case preparation, including the preparation of legal documents, motions, interviewing of victims, witnesses, etc.

<u>Law Intern</u>. This category includes law students working in prosecutors' offices who are engaged in research, preparation and generally trial assistance. These individuals may also be engaged in the supervised trying of cases.

<u>Social Service Workers</u>. This category includes social workers or social service staff providing assistance and support to defenders in planning case dispositions, counseling defendants, etc.

Employment in Key Prosecution Occupations at <u>End</u> of Fiscal or Calendar Years 1973-76. Fill in appropriate dates below. (Data for 1975 and 1976 may be planned or estimated.)

,1973	,1974	,1975	,1976
•			
	•		
	,1973		

Note: For any key occupation that is not included in your agency, write N/A (Not Applicable) in the 1st empty space in the row for that job.

IF SPECIFIC EMPLOYMENT INFORMATION IS NOT AVAILABLE, PLEASE INCLUDE ESTIMATES. STAR (*) ALL ESTIMATES.

To provide additional background information, please attach a copy of the agency's organizational (staffing) chart and most recent Annual Report with this survey form. If similar charts and reports are available for 1970 or 1971 please also attach.

Pa	rt-	ti	me
----	-----	----	----

rare-time					
If some <u>attorneys</u> who are employed as estimate the average number of hours w			oart-time	please	
Number of attorneys employed	d part-ti	me			
Average number of hours work	ked per v	reek			
		•		-3	
Turnover - Voluntary resignations				% · •	
One of the issues of concern is the alto attract and retain good quality empof this factor is the number of employ. Considering only the total of all attracts assistant defenders, please provide in uals who resigned voluntarily or left	oloyees f yees who (both orneys/wh nformatic	or key jo leave vo full and no work as on on the	obs. An luntarily part-tim s defende number o	indicati e) rs or f indivi	on d-
Number of Voluntary Resignat	ions and	Other Sei	parations		
of All Attor					
			l or Cale ending a		
		years		· · · · · · · · · · · · · · · · · · ·	
		<u>, 1973</u>		1974	
	Full Time	Part Time	Full Time	Part Time	
Total separations of attorneys					
Voluntary resignations					
Retirements					ja .
All other					
	L	<u> </u>			
If your agency has made a study in the employed attorneys can a copy be made	e past 5 availab	years of le?	the turr	nover of	
New Hires					
How many attorneys were hired for defe years 1973 and 1974 (fill in appropria ?Hired in 1973:	ender dut ite dates Hi	ies durin) from red in 19	ng fiscal 74:	or cale	ndar
Approximately how many of newly hi in trying criminal cases of those hi and 1974 (fill in appropriate dates) for In 1973, In 1974,	red atto	rneys had	i previou calendar	vears 1	ence 973

Training Budget Information

Does your agency have a separate budget or accounting item for training costs? Yes No . If there is a separate accounting item for training answer the questions below, if the information is available.

	<u>Current Fiscal Year</u>
	, 19 to, 19
What was the agency TOTAL operating* budget?	\$
a. How much for salaries & fringe?	\$
b. How much for other operating?	\$
What was the agency operating budget for training?	\$
Check costs that are included in the training budget. Include amounts if available.	
Salary of training staff	\$
<pre>Cost of outside training (including travel)</pre>	\$
Salary of trainees	\$
Purchase of supplies and materials	\$
Check the types of training that are included in the budget.	
entry level training	
in-service training	
other, please specify	
What sources of funds for training have you used in the current fiscal year? (Check all that apply.)	
Federal funds:	Amount (if known)
LEAA	· \$
Other (specify)	\$
State funds	• \$
County funds	
Local funds	\$
Other (specify)	

^{*}Includes salaries, payroll, and the purchase of supplies, materials and contractual services. Excludes capital outlays.

EXECUTIVE INTERVIEW FOR AGENCY ADMINISTRATORS <u>Judicial Process</u>

117	rcie		
Loc	ocation		
Giv and	ive introduction, describing goals of st nd purpose of this interview.	udy, reason for	agency selection,
1.	In your judgment, do you now have any	critical manpowe	er shortages?
	() Yes		
	() No (Go to Question 8)		
2.	In what personnel categories do you h for the key occupational categories.)	nave shortages?	(Probe especially

- Which of the following conditions characterizes these shortages?
 (Check as many as apply)
 Present staffing levels are below optimum levels*
 () Present staffing levels are below authorized levels
 () Present staffing levels are below the absolutely minimal levels necessary for adequate service to the public
 () All the above*
 *If checked, ask what the optimum level would be in his/her opinion.
 How long have these shortages existed?
 Since 19____.
- budget cutbacks, turnover, etc.)

(Probe re increasing work load,

What are the causes of these shortages?

6. What effects within and outside your agency have these shortages had? (Probe re cutbacks in services, community dissatisfaction, staff morale, curtailment of training activities, etc.)

7.	Are t	her	e any	current	: efforts	to r	educe	these	short	ages?	, , , , , , , , , , , , , , , , , , ,
	()	No	* .							
	(}	Yes.	What?			tg)			• • • • • • • • • • • • • • • • • • •	
										a .	
											*
										9	
8.	Do yo	u p now	redict	critic Check as	al manpo many as	wer s	hortag y.)	jes in	your	agency f	ive years
	()	Yes*								
	()	Yes,	present	shortag	jes wi	11 cor	ntinue			9 9
	()	Yes,	present	shortag	jes wi	11 eve	en wor	sen		
	()	Yes,	new sho	rtages w	/ill a	rise				
	()	No								
	*Spec	ify	the o	ccupati	ons wher	e sho	rtages	will	arise	•	
9.	What	is	the ba	sis for	your pr	edict	ion?				

10.	In y than	your n th	opinion ose ente	n, are pe ering fiv	ersonne ve year	l hired s ago?	at the	e entry	level	better	qualified
* 5.)		(Probe							
	9 B										
							ì				
			ø								
11.	Are	the	re any o	critical	traini	ng needs	in yo	our age	ncy?		
	()	Yes (Pi No	robe re (details),					

12. Do you think the work of this agency will change within the next five years?() Yes (Probe re changes in role, functions, etc.)() No

13. If you were to receive a 10% increase in your annual budget for the next fiscal or calendar year and could spend it however you chose, how would you spend it?

15-5-

and education. Do you the way these dollars	think th	ne payoff co	ould be incr	of money eased by	on training changing
() Yes () No					
-GIVE AGENCY ACTIVITY PROFILE HERE-					
15. Of these activities (value the most important in counterforces affecting	the next	10 years?	s), which do (Probe re	you thi reasons	nk will be and forces/
(If time permits, use ap the planning interview		ce forces a	nd counterfo	rces que	stions from
		·			
,					
em vegation in the second of t					

.

ε₀

FOR PROSECUTION, DEFENSE AND PRESIDING JUDGES

Legal Education Policy Issues Analysis

To what extent is law school adequately preparing students to be effective advocates or staff attorneys in this agency?

Specifically, in what areas is law school preparation deficient in meeting agency needs or expectations?

In what areas are current agency needs being met.

A number of new or innovative techniques have been proposed and tried in an attempt to improve the preparation and performance of new prosecutors and defenders. Please list for the interviewee the following potential solutions and seek respondant's opinion about those he cares to consider.

- 1. Increased utilization of clinical education programs.
- 2. The creation and utilization of law internships during the summer and third year or law school.
- 3. Mandatory or voluntary clerkships in this office following graduation but before full time employment as a prosecutor or defender.
- 4. Mandatory certification for attorneys by the bar or other licensing authority by specialization particularly with regard to criminal law, procedure and trial practice.

FOR PROSECUTION EXECUTIVES ONLY

Prosecution/Law Enforcement Links

Do you maintain any special programs or policies or practices which you feel facilitate your relationship with local law enforcement personnel? (For example, are prosecutors ever assigned to station houses to screen cases or assist policemen in the preparation of warrants.)

If Yes, could you please describe them.

How would you assess the value of these programs or practices - to you - to the law enforcement agency?

Can you identify any factors which tend to inhibit your working relationship with law enforcement personnel?

For Court Administrators and/or Presiding or Administrative Judges

The Impact of Court Reorganization

For Defenders only

Organization of Defender Services

7

Courts, Prosecution and Defense

Diversion and/or PreTrial Programs

See separate trend analysis questions

National Manpower Survey ACTIVITIES CHECKLIST

A number of trends, activities, or experimental programs have been tried in the law enforcement and criminal justice field in recent years. We would like your opinions on whether some of these things are being done or should be done at your agency. Use the scale shown below to answer the questions about the various activities described.

- 1 = Yes. Will definitely continue to do this
- 2 = Yes. Will continue to do this if funds are available.
- 3 = Yes, but uncertain whether we will continue to do this.
- 4 = Not yet, but plan to do this in the near future
- 5 = No. Would like to do this but have not been able to.
- 6 = No. No plans to do this. Uncertain of the value.
- 7 = No. Have tried it and dropped it.
- 8 = No. It is not suitable here.
- 9 = Don't know anything about it.

We are also interested in probable changes. During the next five years, what can you realistically expect?

- +3 = Increased activity will be dramatically more than it is now
- +2 = Increased activity will be somewhat more than the increase in workload
- +1 = Increased activity will be proportional to workload increases
- 0 = No increase in activity of this type is expected, even if the workload increases
- -1 = There will be a <u>mild decrease</u> in activity of this type
- -2 = There will be a considerable decrease in activity of this type
- -3 = Activity of this type will be dropped

Activities List for Defender Services

Does this Agency (office) have or use:	Probability Rating	5-year Change Rating	Notes	
*1. Operate any pre-trial service and/or diversion programs?	·			
*2. Employ paraprofessionals (paralegals), law interns or volunteers?		'	 ·	
3. Provide social services or disposition planning for its clients?				
4. Utilize any computerized management system(s)?				
		-		
5. Utilize methods of automated legal research?				
6. Establish standards and manage the assignment of counsel for indigents		(5)		
7. Conduct training workshops for practicing attorneys?	Tr.			
+Activities associated with judicial process waviables/innovations being at	<u> </u>			

^{*}Activities associated with judicial process variables/innovations being studied in greater detail. Rev. 10/6/75

Activities Checklist for Defender Services - continued

Does this Agency (office) have or use:	Probability Rating	5-year Change Rating	Notes
8. Formalized plea negotiation practices and procedures?			
		<u>}</u>	
9. Evaluative or applied studies requiring the skills of a researcher?			
10. Systematic long range plans based upon data collection and analysis?			
		•	
11. Public relations and public information programs?			
12. Preservice training programs or activities?			
13. In-service training programs or activities?	-		
	<u> </u>	1	

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^{*}Activities associated with judicial process variables/innovations being studied in greater detail.

	Acordies	for Trosecutor	Jervic	construced		
Does	this Agency (office) have or use?	Probability Rating	5-year Change Rating		Notes	
8.	Operate any citizen complaint centers or other such service functions?					5 S S S S S S S S S S S S S S S S S S S
s.	Utilize trial teams for certain classes of offenses?					
10.	Evaluative or applied studies requiring the skills of a researcher?					
٠.						
11.	Systematic long range plans based upon data collection and analysis?					
12	Public relations and public information programs?					
,	Tabite refueions and public información programs.					
13.	In-service training programs or activities?					
		a de la companya de l				
14.	Preservice training programs or activities?					
	tivities associated with judicial process variables/innovations being stu		<u> </u>			

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National Manpower Survey ACTIVITIES CHECKLIST

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- -2 = There will be a considerable decrease in activity of this type
- -3 = Activity of this type will be dropped

Activities List for Courts

loes this Court (Jurisdiction) have or use:	Probability Rating	5-year Change Rating	Notes
1. A professional court management staff?			
2. Release on recognizance and pre-trial release programs?			
3. Utilize any computerized caseflow or management information systems?			
	, A		
4. Utilize diversion programs?			
	, !*·		
Computational official to be added to be a second t			
5. Computerized offender based tracking systems?			
6. Decriminalization of certain laws (traffic, drug abuse, etc.)?			
		-	
7. Offer formalized victim witness assistance services?			
7. Office formatized victim withess assistance sqivites:			

^{*}Activities associated with judicial process variables/innovations being studied in greater detail. Rev. 10/6/75

Activities List for Courts - continued

Does	this Court (Jurisdiction) have or use?	Probability Rating	5-year Change Rating	Notes
8.	Employ parajudicial or administrative personnel to perform quasi- judicial and/or judicial functions?			
9.	Utilize any voluntary services to assist either program or operational components of the court?			
10.	Interdisciplinary training of judges, prosecutors, defenders and other court or criminal justice personnel?			
11.	Alternative methods to traditional adjudicative practices ever used in this jurisdiction (e.g., arbitration)?			
			-	
*12.	Have courts in this jurisdiction undergone any reorganization or consolidation?			
13.	Evaluative or applied studies requiring the skills of a researcher?			1
٠.				
14.	Systematic long range plans based upon data collection and analysis?			
	initia appointed with indicial process uswishles/inspections being of	<u> </u>	n dotai	

^{*}Activities associated with judicial process variables/innovations being studied in greater detail.

Activities List for Courts - continued

Rating	

PRE-TRIAL AND DIVERSION PROGRAM MANPOWER AND TRAINING AND EDUCATION ANALYSIS

For use in courts, prosecutors, defender, and probation agencies.

Objective: To collect information about the operations of pre-trial and diversion programs with particular emphasis on personnel man-power, training, and training needs.

<u>Definition</u>: Pre-trial programs include the provision of a variety of services including custody, employment, treatment and educational activities to alleged offenders, prior to trial of a charged offense.

Diversion programs are very similar and at times may be considered part of pre-trial programs. The big difference is that diversion may be out of the formal system with no charges brought or conditioned suspension of charges, and may even be a post adjudicative program.

For each program or aggregate programs within a given agency, the following information is needed: Agency _____ Address (street) (state) (zip code) (city) Contact (interviewee) _____ area code Telephone | Program Title(s)* Indicate whether the data which follows is for a single program or an aggregate of programs in this agency which you have just listed. single program some aggregate programs all aggregated programs in this agency *Note: For each program not treated as an aggregate, take a new form and repeat exercise with another copy of this instrument. 0

A. General Information

Get a general description of each pretrial or diversion program. Use the following questions as guidelines but watch for opportunities to collect other data which could be useful to describe the operation of such programs. Use more space or additional sheets if necessary.

Program	Titles and Objectives:
	
General	ly describe how the program operates:
,	
	
Who are	the clients of the program(s)?
	one of famous of one program(e).

*	s intake into programs achieved?
What	services are available?
How o	do clients leave or complete the program?
Desci budge	ribe the growth of each program (number of participant et increase, diversified goals, etc.).
	

O

		·			
				· · · · · · · · · · · · · · · · · · ·	
·					
What are the bene (cost, rehabilita	ation, publ	ic relatio	ons, etc.	epartment)?	or
			•		
international and the state of		 			
			 	,	
					
What have been so lishment of each		oroblems (encounter	ed in the	es:
· Planta and a second a second and a second and a second and a second and a second and a second and a second and a second and a second and a second and a second and a second and a second and a second and a second	<u> </u>				
					
	1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1				

B. Program Effects on Manpower

The purpose of this section is to collect as much information as possible about how pre-trial services or diversion programs have effected manpower in the agency or department. Use charts provided where appropriate, but feel free to collect data in more convenient methods as appropriate.

Find out the type and number of personnel assigned to each program by position for each year since the program began. If program is older than five years, use last five years only.

Program	·				
		Numb	ers Requi	red	
Position Titles	lst yr. 19	2nd yr. 19	3rd yr. 19	4th yr. 19_	5th yr. 19
1.					
2.					
3.					
4					
Program	·				
•		Numb	ers Requi	red	
Position Titles	1st yr. 19	2nd yr. 19	3rd yr. 19	4th yr. 19	5th yr. 19
1.					
2.					
3		1			
4.					
					

•	Numbers Required							
Position Titles	lst yr. 19	2nd yr. 19		4th yr. 19	5th yr. 19			
1								
2.								
3			•					
4.	_	•						
Program								
		Numb	ers Requi	red .				
	lst yr.	2nd yr.	3rd yr.	4th yr.	5th yr			
Position Titles	19	19	19	19				
1								
2				-	1			
3					<u> </u>			
4	<u>L</u>				<u> </u>			
Program								
ri ogi ali								
		Numb	ers Requi	red				
Position Titles	lst yr. 19	2nd yr. 19	3rd yr. 19	4th yr. 19	5th yr 19			
1	,							
2								
3.								
4.								

.

B-2. Were new positions titles created to staff pre-trial/diversion programs?

New Position Title	Number Hired	Starting Salary	Primary Tasks/Responsibilities
1			
2			
3			
4			

B-3. Find out the number of personnel who remained in current positions (same title, same location) but were assigned new tasks/responsibilities. Use chart if appropriate:

	رُمْ	General Tasks					Program
Position Titles	10.00 P	General Tasks	Descrip /Respons	tion of	New	20 St. 20	Program
1.					· · · · · · · · · · · · · · · · · · ·		1 - 1 - 1 - 1 - 1 - 1 - 1 - 1 - 1 - 1 -
2.							
3.							
4.							
5.						•	
6.			·				
7.			· · · · · · · · · · · · · · · · · · ·				

B-4. Were staff workloads readjusted as a result of implementation of pre-trial or diversion programs? How (i.e., intake and screening officers were required to increase case evaluations by 15%)? Use chart if appropriate.

Position Titles	General Description of How Workload Increased or Decreased				
1.	_				
2.					
3.	•				
4.					
5.					
6.					
7.					

B-5. Did reassignment of existing staff to pre-trial or diversion programs create critical manpower problems in other parts of the agency/department.

Position Title	General Description of How Reassignment Created Manpower Problems by Position
1.	
2.	
3.	
4.	

B-6. For each pre-trial or diversion program implemented in the department/agency, find out what adjustments in manpower were required. Use back of pages if necessary.

Program	How man	existing were retr How nan	a ined?	red? sting existerre transferre	stat aced? State aced? Street aced. Street aced. Street aced. Street aced. Street aced. Street aced. Street aced. Street aced. Street aced. Street aced. Street aced. Street aced. Street aced. Street aced. Street aced. Street aced. Street aced. Street aced. Street aced. Street aced. Stree	Saradiofesad?
1				·		
2.						
3.						
4.						
5.						

Program			existing were retr word nan	ained?	How hand	statiaced directioned	Paradronited?
•	-	How man	were retr	direct howere	How many	HOW HON	s we
1.							
2.							
3							
4.							
5.							

B-7. How much did the new programs require the use of volunteers? (Probe for numbers used. How recruited? Tasks/assignments required? Be sure you understand how volunteers affected the program staff.

Position Title	General Description of How Use of Volunteers Affected Manpower.
	· .
	•
,	
Hay many of the	
	following categories of personnel were used?
Volunteers _	•
Ex-offenders_	
	nals

Describe the tasks (briefly) or responsibilities of volunteers (i.e., record-keeping for inmate accounts, provide transportation, etc.).

How did the use of volunteers affect manpower?

How were volunteers recruited (advertisement, local organizations, etc.)?

Would this department continue or expand the use of volunteers under this program?

What have been some of the benefits/problems of using volunteers in work/study release programs?

C. Training and Educational Effects

C-1.	As a result of the implementation of pre-trial or diversion programs in this department/facility, have you established any new training programs for staff or volunteers?
	yes, - go to C-3
	no, - answer C-2 and proceed to Section D.
C-2.	Do you have any plans to establish <u>new</u> training programs for staff or volunteers. If yes, describe. If no, why not?

C-3. Describe each <u>new</u> training program for staff by position.

	Position Title	General Description/Objectives	Jength.	of inder	1 1 1 2 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1
1.					
2.					
3.	:				
4.					

NOTE: ASK FOR CURRICULUM GUIDES FOR NEW TRAINING PROGRAMS, IF AVAILABLE.

C-4. If there has been a modification of the existing curriculum to provide specialized training for employees working in work/ study release programs, describe the modifications as they affect each position.

Position	Description of Modification of Existing Training	on was existing	thinber of	COST
1.				
2.				
3.		,		
4.				

C-5. If you have implemented new training or modified existing training, what new tasks or specific new skills have you trained personnel to be able to handle?

Position	Tasks or Skills Taught by New or Changed Training
1.	
2.	
3.	
4.	

(3

C-6. As a result of work/study release personnel needs, have you changed the educational standards required for any new or existing position used in these programs? If yes, describe.

Position	Change in Educational Standards				
1.					
2.					
3.					
4.					

If no, do you have any plans for changing standards? How? For what reasons?

Position	Plans for Revised Standards	Why?
1.		
2.		
3.		
4.		

C-7. What factors affected your ability to retrain existing personnel for positions in pre-trial or diversion programs (e.g., lack of resources, lack of funding, etc.)?

C-8. What curriculum priorities would you establish if you could expand your training efforts for staff in pre-trial or diversion program (i.e. what skills would you particularly emphasize for training each position if you could expand your training efforts?

0

Position	Curriculum Priorities				
1.	, a set a con-				
2.					
3.					
4.					

Note:

- Ask for job descriptions for any newly created positions established for pre-trial or diversion programs.
- Ask for job descriptions for any continuing positions which have modified required tasks, education requirements, etc., for use in work/study release programs.

 Date
 Interviewer
Telephone

Personnel Department Interview STAFF ATTORNEY - PROSECUTOR AND DEFENDER

Name	
Title	
	, *
· · · · · · · · · · · · · · · · · · ·	÷
Give introductio purpose of this	n, describing goals of study, reason for agency selection, and interview.
1. Do you have	any problems in recruiting staff attorneys?
, ,	Yes (Go to Q. 2) No (Go to Q. 3)
2. If yes, what	have some of the problems been? -check all that apply-
(17) 1 () (18) 1 () (19) 1 () (20) 1 () (21) 1 () (22) 1 () (23) 1 ()	Pay is not competitive in the labor market Benefits are not competitive in the labor market Public service is unattractive Reputation of the office
(25) 1 () (26) 1 () (27) 1 () (28) 1 ()	ot? -check all that apply- little need to recruit more qualified applicants than positions competitive in the labor market young lawyers want the experience Other (specify)

4.	What a attorn			minimal educational and experience requirements to check all that apply-	for staff
	(30) 1	()	law degree	
	(31) 1	()	high class rank (possibly law review)	
	(32) 1	()	admission to the bar	
	(33) 1	()	admission to the bar within 1st year of appointme	ent
	(34) 1	()	experience in the practice of criminal law	
	(35) 1	()		
					· · · · · · · · · · · · · · · · · · ·
5.	Do you	r m	ini	mal education requirements present any problems?	
	(26)]	()	Yes	
	$(36)^{-1}$	()	No	
6	If you		vn1	ain.	
0.	II ye.	, .	vhi	uiii.	
	· · · · · · · · · · · · · · · · · · ·	- 1			——————————————————————————————————————
7.				total number of staff attorneys in this office exney and chief assistants or division directors?	clusive of
	1	()	1 - 3	
	2	()	25	
	3	()	6 -10	
	4	()	11 –15	
	(37) ₅	().	16 -20	
	6	()	21 -30	
	7	()	31 -40	
	. 8	()	more than 41	
8.	Are n	ew s	taf	f attorneys always given a specific assignment fi	rst?
	(38.)	()	Yes	
	2	()	No	
9.	If so	, wh	at	is it?	

10.		it i			e factors upon which promotion decisions are based for staff -check all that apply-
1	39)	7	1	}	supervisory evaluations
•	40)		•	•	amount of experience in criminal justice activities
	41)		-)	amount of experience in the agency
•	42)		•	•	Other (specify)
`	,,	•	`	,	
11.	Wha	at	is	the	normal career pattern(s) for new staff attorneys in this agency?
		Wh	ere	e do	they come from?
		As	sig	ınme	nt within agency?
		Wh	ere	e do	they go?
12.	How	/ ma	any	of	your staff attorneys are women? (43-44)
		Is	tŀ	nis	percentage stable or likely to change:
		1	()	stable
. ((45)	2	()	likely to increase (specify why)
		3	()	likely to decrease (specify why)
13.	Hov	v m	any	of	your staff attorneys are non-white: (46-47)
	Is	th	is	per	centage stable or likely to change?
		1	· ()	stable
. ((48)	2	(,	likely to increase (specify why)
		3	()	likely to decrease (specify why)
14.	Wh ha	at ve	wo be	uld en h	you estimate the average number of years your staff attorneys nere? (49-50)
15.	Wh Ho	at w c	is om	you pute	or annual turnover rate of staff attorneys?(51-52)
16.	Do ov	yo	u th	expe e ne	ect this rate to increase (1) decrease (2) or remain the same (3) (53 ext five years?

17. What are	the reasons staff attorneys leave the job?
(54) 1 () pay and benefits
(55) 1 () promotion opportunity at agency poor
(56) 1 () performance unsatisfactory
(57) 1 () cut-back in funds
(58) 1 () better opportunities outside
(59) 1 () reputation of the office
(60) 1 () dissatisfaction with public service
(61) 1 () Other (specify)
utiliza staff a What cha	rging occupations of investigators, paralegals and the increased ion of law interns has resulted in the redesign of the job of storney in some respects. Has any of this happened in this agency? Inges have occurred as a result of these individuals being employed agency? (Get job description for emerging occupations.)
	ies do they perform?
	cigators
Law I	nterns
Parale	egals
	ald I talk to in order to get detailed information about these jobs? up with trend questions.)
	the implications of these emerging occupations for the job of torney? What changes have occurred?

Date	
Interviewer	
Telephone	

Personnel Department Interview JUDGES

LIIL	erviewee Information:
lam	9
it	le
oc Ti el	ation_ tle of court) ephone
	e introduction, describing goals and objectives for the study, reason for ncy selection and purpose of the interview.
	What are the requirements to become a judge (get both general and/or limited court criteria as appropriate) in this jurisdiction?
	Education
	Age
	Experience
	Endorsements
	Licensing
	Attitude/Disposition
2.	What is the term of office for judges in this jurisdiction?
3.	

		<u></u>
		
What	t has been the recruitment pool from which judges are selected?	
	you have any difficulty getting or keeping qualified people to serges?	·ve
	best people don't want the job	
	pay and benefits are poor	
	problems recruiting minority personnel	
	v:omen (number on bench)	
	non-white(number on bench)	
	public service/public scrutiny	
	quality of present incumbents on bench	
	other (specify)	
	,	
Plea	ase explain any items checked in number 6.	
		· ·
 		
the	emerging occupations of parajudge and administrative hearing off changing role of the magistrate has resulted in the redesign of t	
a.	Has this happened in your court?	
b.	Describe some of the changes that have occurred.	
		' هن <u>نسبت</u> ارخی
	A CONTRACTOR OF THE PROPERTY O	

Can you identify any other changes in the role of the judge that may occur or impact upon the occupation in the next ten years?
Do you believe there are any career patterns that exist for judges sitting

+	Date		
	Interviewer		
	Telephone		

Personnel Department Interview

				COURT ADMINISTRATOR	
Nam	ie			COOK! AUMINISTRATOR	
Giv and	e int purp	rodi ose	ucti Of	on, describing goals of study, reason fo this interview.	r agency selection,
	1	()	any problems in recruiting a court admin Yes (Go to Q. 3)	istrator?
	(15) 2	2 ()	No (Go to Q. 4)	
	(16) 1 (17) 1 (18) 1	(()	were some of the problems? pay and/or benefits not competitive in selection standards are too high can't find qualified people Other (specify)	
3.	. 1	ı ()	position of court administrator created court rule revision state/local legislation	
				federal/state/local grant program Other (specify)	
4.	When	was	th	position of court administrator created	d in this jurisdiction?
	1	I (2 (3 ()))	before 1965 1965 - 1968 1969 - 1971 1972 - 1975	

5. What are the minimal educational and experience requirements for the position of court administrator? -check all that apply-	
(22) 1 () college graduate	
(23) 1 () law degree	
(24) 1 () degree in business administration	
(25) 1 () a requisite number of years of administration experience please specify how many	
(26) 1 () experience in this court	
(27) 1 () Other (specify)	
6. How many court administrators have there been in this jurisdiction sinc the position was created?	e
1 () one (Go to Q.8)	
2 () two	
3 () three (28) () four	
4 () four	
5 () five $\left(\begin{array}{c} \text{(Go to Q.7)} \end{array}\right)$	
6 () six or more)	
7. If more than one, where did they come from, and where did they go?	
andra de la companya de la companya de la companya de la companya de la companya de la companya de la companya La companya de la companya de la companya de la companya de la companya de la companya de la companya de la co	
8. How do you expect the Court Administrator's job to change in the next f years?	ew
1 () no change	
2 () increased administrative responsibility	
(29) 3 () decreased administrative responsibility	
open ended discussion	
9. What has been the effect on the operations of the court system by havin a court administrator?	g
(on the job of presiding judge)	
경에 있는 것이 되었다. 그런 그는 그는 그는 그는 그는 그는 그들은 그는 그를 보고 있는 것이 되었다. 생물을 가득하는 것이 되었다.	
(on the court system)	

Date	 	
Interviewer		

Training Interview Questions JUDGES

Nam	e of Interviewee
Tit	le
Loc	ation
Tel	ephone No
Giv sel	e introduction, describing goals and objectives of the study, reason for agendection and purpose of the interview.
1.	Do you consider newly elected or appointed judges in this jurisdiction to be adequately prepared to assume their judicial duties?
	1 yes 2 □ no
	If yes, go on to question 2. If no, go on to question 3.
2.	In what areas do you believe new judges are deficient or need more training?
3.	Is there any formal or informal orientation training provided for new judges? $1 \square yes 2 \square no$
	If yes, go on to question 4. If no, go on to question 8.
4.	Who provides the orientation training?
5.	How long does it take?
6.	What is the course content and the nature of the training materials used?
	그는 사람들은 그리고 하는 사람들에 가장 그런 생활한다. 것이 얼굴 얼굴하는 얼굴하다 가장하다는다.

	any inservice training provided for judges in this jurisdiction?]yes 2□ no
	yes, go on to question 9. no, go on to question 14.
	scribe the nature of the training (e.g. weekend sessions run by outsions under the nature of the training (e.g. weekend sessions run by outsions run by outsions the nature of the training (e.g. weekend sessions run by outside run by outside run
Des	scribe the training content
Who	provides this training?
Hov	w long does it take?
Hov	w is it evaluated?
нои	v is it evaluated?

. ,

Q-

18.	Who finances your training programs?	4,5
	1 Orientation	
	1 Inservice	
	1 Special	
	1 National	
19=	Is there any incentive for judges to attend special programs or their own expense? 1 \square yes 2 \square no	training at
	If yes, explain.	
20.	If you had more money for training of judges, how would you use	it?
0.1		
21.	Does anything other than money keep you from implementing these	programs or
	priorities? 1 □ yes 2 □ no. If yes, explain.	
		

- 	Date
	Interviewer

Training Interview Questions For Staff Attorney

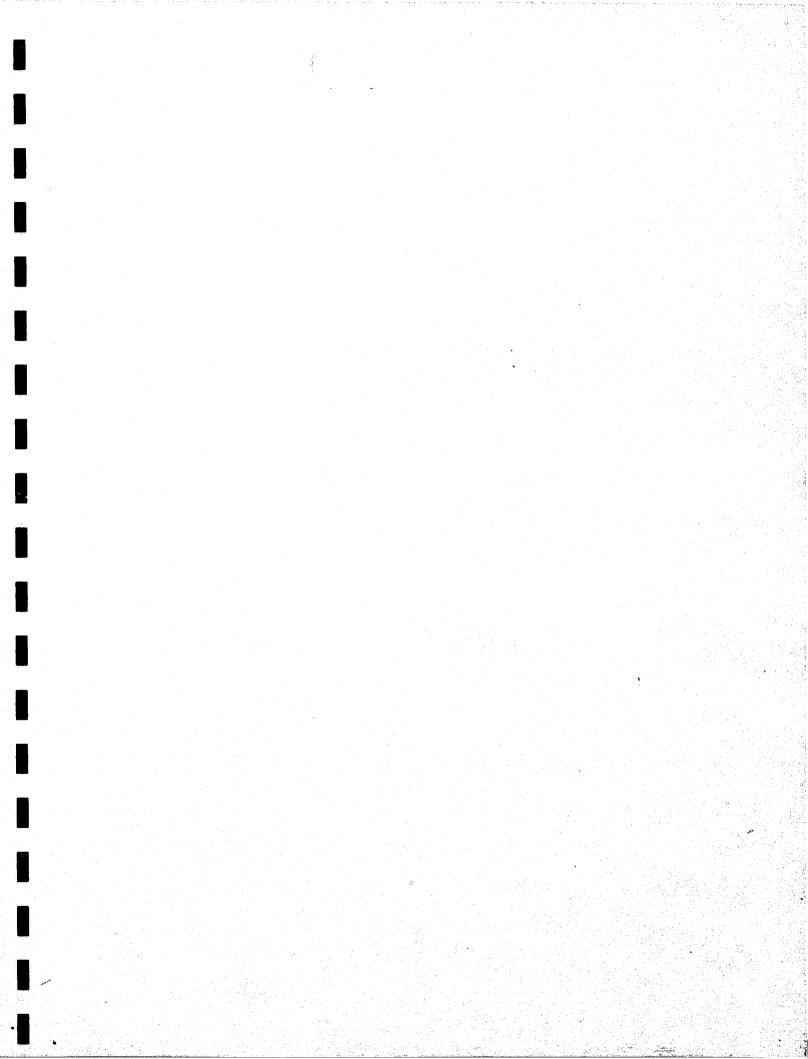
me of Interviewee	· · · · · · · · · · · · · · · · · · ·	
tle		·
cation		
lephone number		
ve introduction, describing goals and objection, and purpose of this interv		reason for
General information (discussion and probe	e) question.	
Do you feel new staff attorneys are adequation and a dequation of duties of the position when they	uately prepared to pe y come to this agency	erform the d
		· · · · · · · · · · · · · · · · · · ·
In what areas are new staff attorneys moseither on the job or through special tra Should law school curricula have provided	ining? For each are d this knowledge or	a given ask skill?
either on the job or through special tra	ining? For each area d this knowledge or s <u>Law Scho</u>	a given ask skill? ol Curricul
either on the job or through special tra Should law school curricula have provided	ining? For each aread this knowledge or selection to the	a given ask skill? ol Curricul No
either on the job or through special tra Should law school curricula have provided	ining? For each aread this knowledge or selection to the selection that the selection tha	a given ask skill? ol Curricul No No
either on the job or through special tra Should law school curricula have provided	ining? For each aread this knowledge or selection to the	a given ask skill? ol Curricul No

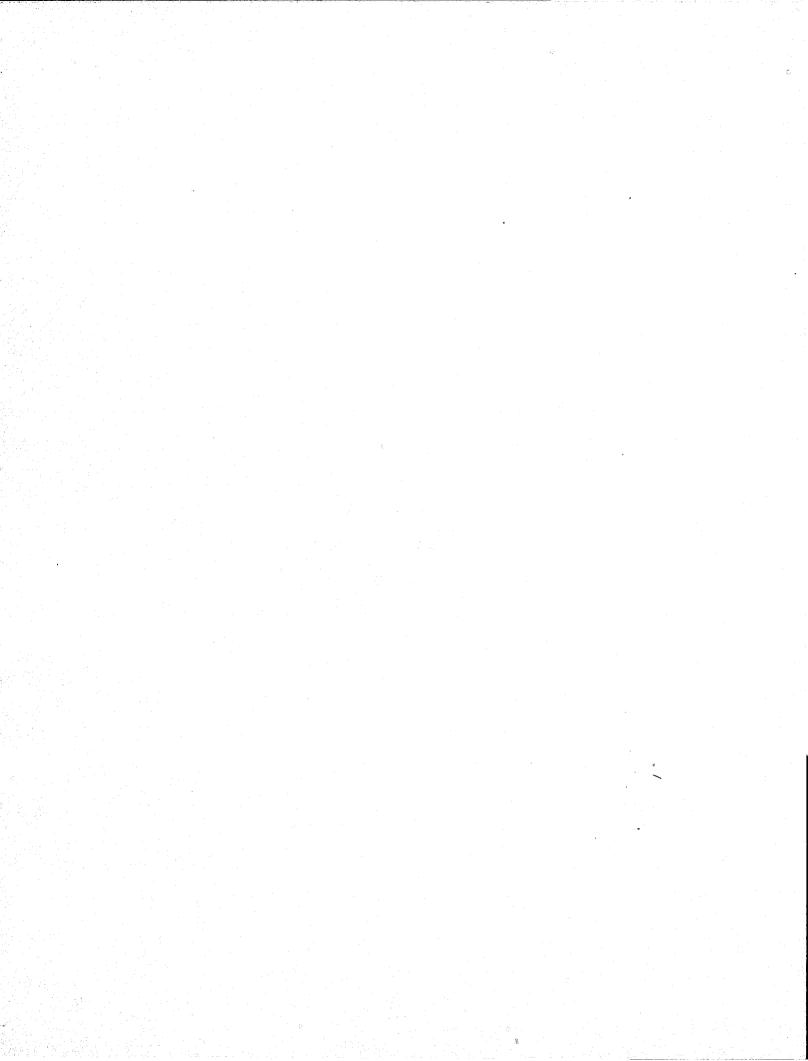
4.	What	kind	of training is provided?
	1	()	internships
	1	()	orientationweeks
	7	()	close supervision from experienced attorney
	1	()	staff meetings
	1	()	study group
	. 1	()	training manual, bulletins
	1	()	seminars (in-houseoutside of agency)
			role playing, trial practice
	1	()	specialized training
	1	()	Other (specify)

5 For each type of training checked in number A

Type Who gets it Who gives it Where How long Content How is it evaluated	5. For each type of	training checked	in number 4, pl	ease indicate	type and	collect the following i	nformation:
	Туре	Who gets it	Who gives it	Where	How long	Content	How is it evaluated
				,			
						•	
						•	
		•					
					1		
					1	• •	
					🖟 . Tea		
생물이 있는 것이 되는 것이 되었다. 이 말이 되어 있는 것이 되는 것이 되었다. 그 사람들은 사람들은 사람들이 되었다. 그리고 있는 것이 되었다. 학생 사람들은 사람들은 생물을 받았다. 그는 사람들은 사람들이 가장 이 없었다. 사람들은 사람들은 사람들은 사람들은 사람들은 사람들은 사람들은 사람들은							
그는 그는 그는 그는 어떤 점점에 가는 그리는 그리는 바로 그는 사람들은 학생들도 하는데 되는 것은 그 점점 그는 다른 그는 다른 사람들이 되었다.							
and the control of t	보고 있는 얼굴하다 하고 어떻게 된다.					이미 이토론 기도 만들었다니다.	

ь.	e job for some time? 1 \square yes 2 \square no
•	yes, go on to question 7. no, go on to question 10.
7.	ease indicate what types of training programs are available for experienced torneys within the agency.
	1 () staff seminars
	1 () study groups
	1 () training manuals, bulletins
	1 () trial practice
	1 () specialized training (specify)
	1 () other (specify)





CONTINUED

150F19

Q For each type of training checked in number 7

8. For each type of	training checked	in number 7, pl	ease indicate	type and	collect the following i	
Туре	Who gets it	Who gives it	Where	How long	Content	How is it evaluated
			·			
•						
•			•			
						Section 1
		. •				
•						
•						
		1				

a.	ional programs outside of the agency? 1 🗍 yes 2 🗍 no If yes, what programs are utilized?
в.	Who attends?
c.	Who finances staff participation?
at	there any incentive for attorneys to attend special courses or tr their own expense? l yes 2 no yes, please explain.
If	more money were available for training, how would you use it?

Date	
Interviewer	

Training Interview Questions COURT ADMINISTRATOR

Name of	Interviewee	
	n	
	ne Number	•
Give in agency	troduction, describing goals and objectives of the study selection, and purpose for this interview.	, reasons for
l. Wha thi	t institutional training do you think provides the best s job?	background for
_	1 Law	
• •	1 Business Administration	
	Court Management	
· · ·	1 Personnel Management	
	1 Public Relations	
(20)	l Liberal Arts	
(21)	1Other (specify)	
//oo\	you have any formal training to do this job before you 1No 2Yes (specify)	
	you feel the need for any further training to do this joint N_0	b?
(23)	2Yes	
If	yes, in what areas?	
-		
4. Whe	re could you get this training?	
. 		

5.	Are funds available for this type of training?	
6. (2	Does anything other than money keep you from receiving additional training a language of the l	ıg?
	If yes, please specify.	
),		

A NATIONWIDE SURVEY OF LAW ENFORCEMENT CRIMINAL JUSTICE PERSONNEL NEEDS AND RESOURCES

VOLUME VIII - ATTACHMENT C

FIELD ANALYSIS OF OCCUPATIONAL REQUIREMENTS
AND PERSONNEL MANAGEMENT

FINAL REPORT

IN CRIMINAL JUSTICE AGENCIES

Prepared for
Department of Justice
Law Enforcement Assistance Administration

Law Enforcement Assistance Administration

by

National Planning Association,

American Institutes for Research, and Bureau of Social Science Research Washington, D.C.

Under Contract No. J-LEAA-035-74

September 30, 1976

A NATIONWIDE SURVEY OF LAW ENFORCEMENT CRIMINAL JUSTICE PERSONNEL NEEDS AND RESOURCES NCJRS

SEP 2 1 1977

ACQUISITIONS

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VOLUME VIII: FIELD ANALYSIS OF OCCUPATIONAL REQUIREMENTS AND PERSONNEL MANAGEMENT IN CRIMINAL JUSTICE AGENCIES

APPENDIX

ATTACHMENT C

CORRECTIONS DATA INSTRUMENTS

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Task Checklist

OMB #043-S75042 Exp. 7/31/76 LEAA (3600-R)

CORRECTIONS

Please fill in the identification information requested below. The information will be used for research purposes only and will not become a part of any personnel or official file. Title of Department or Organization for which you work: Division (e.g., Planning Office, Penitentiary, Pre Release Center, etc.)_____ 2. Agency address: 3. What is your position or job title: 4. Your Age: (15-16) 5. Sex: ()1 Female ()2 (17) 6. Your Race: Black ()1 White ()2 Other ()3 (18)7. How long have you worked in your current position: Years Months (19-22)8. How many years have you worked for this (23-24)agency:____ 9. In all, how many years have you worked in corrections: (25-26)

10.	Please circle the number indicating your current level of formal education:	
	Less than high school diploma01	
	High school graduate02	
	1 to 2 years of college03	
	2-year college degree04	
	3 to 4 years of college05	
	4-year college degree06 (27-28)
	Some graduate course work07	
	Master's degree08	
	Graduate work beyond the master's degree09	
	Doctorate10	
	LL.B. or J.D11	

Introduction and Instructions

Your agency is cooperating with AIR in a survey of corrections occupations for the Law Enforcement Assistance Administration.

You are asked to provide information about the tasks you are performing in doing your job. Please follow the steps below in completing the inventory.

- Step 1. Put a plus (+) in column 1 for all tasks which you perform, and a (-) for all tasks you do not perform.
- Step 2. Write in at end of checklist any tasks you perform that are not listed.
- Step 3. Using the scale shown on each page, rate in column 2 the relative amount of time you spend in performing a task compared with the time spent on each of the other tasks you do. For example, if you spend a considerable amount of time on a task you would rate this task "C". If you spend a moderate amount of time on a task that would be rated "B", and a very small amount of time would be rated "A".
- Step 4. Then, complete column 3, 4, or 5 to show where you learned the knowledge or skill.

Formal training

= classroom (non college) workshops, special courses, entry level or in-service training programs

College courses

= courses taken at college or law school either for a degree or to acquire special knowledge

Informal job learning = working on the job

If you acquired the knowledge or skill in more than one way, put a l in the box that indicates the most valuable source, and a 2 in the box that indicates the less valuable source. If you learned the knowledge or skill from all three sources, put a 3 in the box that indicates the least valuable source.

Step 5. Column 6 is used to indicate whether you think you received a proper amount of training to do your job. For each knowledge or skill you check in column 1, place an (X) in one box in column 6 to indicate:

Too little

= not given any/enough training; not enough detail; too
narrow in scope, etc.

About right

= suited to job tasks; enough depth; provided necessary
information, etc.

Too much

= overtrained for /level needed; too much detail, etc.

We appreciate your cooperation in this phase of the study. It should be very helpful to LEAA in planning support for future training and educational programs.

Job Title: Probation-Parole Officer/Caseworker

Amount of Time Spent on Task:

A - A very small amount or time

B = A moderate amount of time.

Spent on C = A considerable amount of time

TATEMENTS	Do (+) or Don't	Amount of time spent	(rai	here learn	,2,3)		ount of		
		Do (-)	on Task (see scale above)	Training	Course	Job	Too Little	About Right	
 Investigates and verifies by phone, correspondence, interview and observation; probation or parole client's activities and environment to ascertain if legal requirements are being met 	(29)								
 Interviews client and administers tests to identify and classify client's skills, abilities and interests 	(35)								
 Establishes periodic verbal or personal contact schedule with client and inter- views client on conformance to conditions of probation, parole or incarceration 	(41)								
 Establishes and posts case file and evaluates information to determine client's progress and needs 	(47)								
5. Receives and takes action on complaints against client	(53)								
 Modifies probation, parole or correctional program in view of client's needs and progress 	(59)								
 Negotiates and develops individual treatment program for probationary, parole or corrections client and assists client in implementing program 	(65)								
 Investigates child abuse and neglect complaints and evaluates home and family environment prior to taking corrective action 	(71)								
 Advises and counsels clients, individually or in groups, concerning conditions of probation, parole or incarceration, employment, housing, education, community services, and management of personal affairs to establish realistic and socially acceptable behavior patterns 	(77)								
 Advises and counsels client's family, foster home parents, or complainants on problems in dealing with client 	(17)								
 Prepares recommendations, reports and dispositional plans on clients for Court, Parole Board or Classification Board 	(23)								
 Testifies at judicial proceedings, parole boards or committees as expert witness to evaluate client progress, and assist in decision making 	(29)								
13. Conducts hearings and recommends revocation of probation or parole	(35)						7		
14. Establishes and develops contact with potential employers of clients	(41)								
15. Contacts and consults with community agencies, individuals and commercial firms to evaluate and establish resources for client treatment and assistance	(47)								
16. Promotes and explains probation, parole or correctional programs to improve	(53)								
17. Coordinates use of citizen volunteers in probation, parole or correctional	(50)								
			1					AE 50	

OMB# 043-S75042 Exp. 7/31/76 LEAA (3600-R)

TASKTHECKTIST

Job Title: <u>Probation-Parole Officer/Casewor</u>ker

Amount of Time Spent on Task:

All and single-punt of

= A moderate amount of time

C = A considerable amount of time

		Do (+)	Amount of	Wi (ran	here learn ik order l	ed ,2,3)	Am Traini	ount of ((X)
ASK STATEMENTS		or Don't Do (-)	time spent on Task (see scale above)	Formal Training	College Course	On the Job	Too Little	About	Too
18. Atta	ends meetings, hearings and legal proceedings to gather and exchange information provide input to decisions regarding clients								
19. Coo crii fin	rdinates information and plans concerning clients among law enforcement/ ninal justice agencies, client's family, community agencies and commercial	:	:						
20. IF	YOU PERFORM ADDITIONAL TASKS NOT DESCRIBED ABOVE, PLEASE DESCRIBE THEM ON THE K OF THIS FORM.								
								:	
									: :
					: :				
			2						
		-			<u>.</u>				
7 - 1 6					•			, s	

Exp. 7/31/76 LEAA (3600-P)

Task Checklist

CORRECTIONS

Please fill in the identification information requested below. The information will be used for research purposes only and will not become a part of any personnel or official file. 1. Title of Department or Organization for which you work: Division (e.g., Planning Office, Penitentiary, Pre Release Center, etc.) Agency address: 3. What is your position or job title: Your Age: (15-16) 5. Sex: (_)1 Female ()2 (17) 6. Your Race: Black ()1 (18)White ()2 Other ()3 7. How long have you worked in your current (19-22)position: Years Months How many years have you worked for this (23-24)agency:____ In all, how many years have you worked in (25-26)corrections:

10.	Please circle the number indicating your current level of formal education:	f
	Less than high school diploma01	, , , , , , , , , , , , , , , , , , ,
	High school graduate02	
	1 to 2 years of college03	
	2-year college degree04	
•	3 to 4 years of college05	
	4-year college degree06	(27-28)
· ·	Some graduate course work07	♠+
•	Master's degree08	
	Graduate work beyond the master's degree09	•
	Doctorate10	p
	11.B. or J.D	

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= classroom (non college) workshops, special courses, entry level or in-service training programs

College courses

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If you acquired the knowledge or skill in more than one way, put a l in the box that indicates the most valuable source, and a 2 in the box that indicates the less valuable source. If you learned the knowledge or skill from all three sources, put a 3 in the box that indicates the least valuable source.

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= not given any/enough training; not enough detail; too
narrow in scope, etc.

About right

= suited to job tasks; enough depth; provided necessary information, etc.

Too much

= overtrained for level needed; too much detail, etc.

We appreciate your cooperation in this phase of the study. It should be very helpful to LEAA in planning support for future training and educational programs.

MB# 7504 Exp. 7/31/76 LEAA (3600-P)

TAST CHIEFT ST

Fitle: Correctional Administrator

And Time Spent on

Task:

B = A moderate amount of time

B = A moderate amount of time C = A considerable amount of time

Where learned Amount of (X)
Training/Education Amount of Do (+) (rank order 1.2.3) time spent TASK STATEMENTS or Don't on Task (see Formal College On the Too About Too Do (-) scale above) Training Course | Job | Little Right Much 1. Assigns tasks, evaluates and gives direction to corrections staff in order to effectively achieve facility objectives and to make efficient use of available manpower. (34)2. Receives information and issues instructions on requirements and progress of facility programs and projects from institution staff and establishes priorities in case of conflict. 3. Develops plans for and directs management and daily operations of physical plant, food service, and auxiliary services in order to satisfy Federal/State/Department guidelines. 4. Prepares and justifies additional or regular budget funds, new programs, and requests for additional personnel resources in order to provide an improving correctional program, community/ facility program or staff support services. (52) 5. Directs and reviews preparation of reports in order to provide current information, gain management support of programs, and to assist in long-range planning for facility. (53)(58)6. Reviews and revises facility policies and operating procedures in order to insure that facility/program regulations are up-dated. (59)7. Reviews and approves responses to legislative, judicial, departmental and facility inquiries. (65) (70)Reviews and approves findings and recommendations of facility Disciplinary and Classification Boards. (76) Meets with individuals or groups of residents, staff, or community volunteers in order to discuss personal or facility problems, to explain reason for decisions/policies, to consider other inputs to planning, and to reduce tension/frustration of residents and interested parties by providing definitive responses where appropriate. (16) Develops and revises plans for effective utilization of staff, residents, resources and outside assistance for facility emergencies. (22) 11. Directs facility personnel in unusual or emergency situations (e.g., fire, riot, escape). (28)12. Meets with government and private officials and interested citizens in order to promote programs disseminate information and receive direct or indirect support for correctional programs/plans. (34)Negotiates contracts with unions, public organizations, individuals, local governments, and (40)businesses in order to acquire required services and resources. 14. Screens potential candidates for community programs in order to identify individuals with (41) (46)backgrounds which meet prerequisites for program participation. (52)15. Testifies at committees, boards and judicial proceedings to provide official information. 16. Plans orientation for newly arrived residents to acquaint them with conditions, rules, benefits. aids, and goals of programs or facilities and spot checks their reactions. (58) 17. Plans and conducts staff training to make staff more sensitive to residents' problems and to (64) methods for solving those problems.

Job Title: Correctional Administrator

Amount of Time Spent on

A very sman amount or time

B = A moderate amount of time

B = A moderate amount of time
C = A considerable amount of time

Amount of (X)
Training/Education Where learned Amount of (rank order 1,2,3) time spent **TASK STATEMENTS** or Don't on Task (see Formal College On the Too About Too Do (-) Little scale above) Training Course Job Right Much 18. Develops and maintains contact with potential employers of offenders and helping agencies in order to assess agency capabilities in light of resident needs. (70)19. Consults with parole board and staff to facilitate a smooth transition from a correctional to a community environment. (71) (76)20. Monitors daily operations of institution to anticipate problems or crises and take appropriate action to prevent disruption of normal operations. (16)21. Performs routine personnel and administrative duties. (17) (22)22. IF YOU PERFORM ADDITIONAL TASKS NOT DESCRIBED ABOVE, PLEASE DESCRIBE THEM ON THE BACK OF THIS FORM.

Correctional Officer and Correctional Officer Supervisor

Task Checklist

CORRECTIONS

res	Please fill in the identification information uested below. The information will be used for earch purposes only and will not become a part any personnel or official file.
1.	Title of Department or Organization for which you work:
	Division (e.g., Planning Office, Penitentiary, Pre Release Center, etc.)
2.	Agency address:
3.	What is your position or job title:
4.	Your Age: (15-16) 5. Sex: ()1 Female ()2 (17) 6. Your Race: Black ()1 White ()2 Other ()3 (18)
7.	How long have you worked in your current position: Years Months (19-22)
8.	How many years have you worked for this agency: (23-24)
9.	In all, how many years have you worked in corrections: (25-26)

for	mal education:		
	Less than high school diploma	01	
	High school graduate	02	
	1 to 2 years of college	03	
	2-year college degree	04	
	3 to 4 years of college	05	
	4-year college degree	06	(27-28)
	Some graduate course work	07	
	Master's degree	8	
	Graduate work beyond the master's degree	09	
	Doctorate	10	
	LL.B. or J.D	11	

10. Please circle the number indicating your current level of

Introduction and Instructions

Your agency is cooperating with AIR in a survey of corrections occupations for the Law Enforcement Assistance Administration.

You are asked to provide information about the tasks you are performing in doing your job. Please follow the steps below in completing the inventory.

- Step 1. Put a plus (+) in column 1 for all tasks which you perform, and a (-) for all tasks you do not perform.
- Step 2. Write in at end of checklist any tasks you perform that are not listed.
- Step 3. Using the scale shown on each page, rate in column 2 the relative amount of time you spend in performing a task compared with the time spent on each of the other tasks you do. For example, if you spend a considerable amount of time on a task you would rate this task "C". If you spend a moderate amount of time on a task that would be rated "B", and a very small amount of time would be rated "A".
- Step 4. Then, complete column 3, 4, or 5 to show where you learned the knowledge or skill.

Formal training

= classroom (non college) workshops, special courses, entry level or in-service training programs

College courses

= courses taken at college or law school either for a degree or to acquire special knowledge

Informal job learning = working on the job

If you acquired the knowledge or skill in more than one way, put a l in the box that indicates the most valuable source, and a 2 in the box that indicates the less valuable source. If you learned the knowledge or skill from all three sources, put a 3 in the box that indicates the least valuable source.

Step 5. Column 6 is used to indicate whether you think you received a proper amount of training to do your job. For each knowledge or skill you check in column 1, place an (X) in one box in column 6 to indicate:

Too-little

= not given any/enough training; not enough detail; too narrow in scope, etc.

About right

= suited to job tasks; enough depth; provided necessary information, etc.

Too much

= overtrained for level needed; too much detail, etc.

We appreciate your cooperation in this phase of the study. It should be very helpful to LEAA in planning support for future training and educational programs.

0MB# 043-S75042 Exp. 7/31/76 LEAA (3600-Q)

Job Title: Correctional Officer and Correctional Officer Supervisor

Amount of Time Spent on Task:

B = A moderate amount of time

C = A considerable amount of time

TASK STATEMENTS		Do (+)	Amount of time spent	(rank order 1,2,3			, Am Traini	, Amount of (X) Training/Education		
	W-1	or Don't Do (-)	on Task (see							
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	safety of inmates, visitors, (41)									
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Job Title: <u>Correctional Officer and</u>
<u>Correctional Officer Supervisor</u>

of Time Spent on Task:

B = A moderate amount of time

C = A considerable amount of time

		Do (+)	Amount of	W	here learn nk order i	ed 3	Amount of (X) Training/Education			7
TA	SK STATEMENTS	ar Don't Do (-)	time spent on Task (see scale above)	Formal	College	On the	Too	About	Too	Ħ
		D0 (-)	scale above)	Training	Course	Job	Little	Right	Much	₩.
19.	Evaluates personnel and institution facilities in order to improve job performance, to increase safety and efficiency, and to make recommendations to superior						1			
	safety and efficiency, and to make recommendations to superior		<u> </u>	}					<u> </u>	(70
20.	Conducts and attends meetings for key personnel to disseminate and receive information, encourage input to decision-making, and provide overall guidelines and direction	ĺ	[
	encourage input to decision-making, and provide overall guidelines and direction		ļ		ļ		ļ			10
21.	TE VOU DEDEADM ADDITIONAL TARKS NOT DESCRIBED ADONE. DURASE DESCRIBE THEM ON THE DAGS		ļ							
۷1٠	IF YOU PERFORM ADDITIONAL TASKS NOT DESCRIBED ABOVE, PLEASE DESCRIBE THEM ON THE BACK OF THIS FORM.	Ì		•						
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TASK ANALYSIS INSTRUCTIONS

As part of the National Manpower Survey detailed task descriptions have been prepared for a number of positions in the law enforcement and criminal justice system. In addition to the task descriptions, the knowledges and skills required to do the task and the standards on which performance of the task can be evaluated are set forth.

Because of your familiarity with one of the positions under study you have been selected to review some of the task statements. We would like you to read the task statement, making any changes you think are needed to give a good description of the task. You will note that each task statement describes what is done, what is needed to do it, and why it is done.

The second step is to read the list of knowledges and skills required. It is in the lower right corner of the form. Again, make any changes you think would improve the list--changing the knowledges or skills, adding new ones, or eliminating any you think are not necessary.

Finally, please review the performance standards, in the lower left corner. Again, make any changes, additions, or deletions that you think will improve the list.

If you don't think any changes would improve the task description put a \checkmark in the upper right corner of the form.

The last page of the form contains three questions about training or education for this task.

We appreciate your cooperation in this part of the study.

/^!!	position t	i+1^		Location			
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TASK ANALYSIS FORM

POSITION	Correctional	Officer
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No	change	necessary		
	TASK	NO. Nineteen		

XXXX	XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX	XXXXXXX
X		
X		

TASK: Performs administrative duties (writes memos and letters, files, answers specific inquiries) in a routine fashion according to a standard format or procedure, in order to facilitate efficient flow of information.

PERFORMANCE STANDARDS

Information is complete, neat, accurate, and meaningful Filing is accomplished expeditiously and accurately Administrative tasks are completed in a timely fashion

KNOWLEDGES OR SKILLS REQUIRED

Ability to express self clearly and concisely in writing . Ability to type Ability to apply appropriate rules of grammar

Knowledge of appropriate forms for internal communications Knowledge of organization pathways of communication and action

1.	What	do you think is the <u>one</u> best way to learn to do this task?
		Academic education
		Special training, such as academy training, workshops, seminars, or courses
	_	Working with experienced co-worker
	_	On-the-job training by supervisor
		No special training necessary
		Other (please specify):
2.	How	difficult was it for you to learn how to do this task?
		one of the most difficult tasks to learn on the whole job
	_	very difficult to learn
	<u></u>	of moderate difficulty
		of slight difficulty
	_	not difficult to learn at allcan easily be learned by anyone
3.	Are	college courses essential or highly necessary for performing this task?
	_	No, the task does not need college training
		Yes. Why?
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TASK ANALYSIS FORM

OSITION	Correctional	Officer
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No	change	neces	sary		
	TASK		100	7	

X

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TASK:	Maintains perimeter surveillance of a correctional facility, searching vehicles and persons as they enter and
	leave the facility, observing for unusual incidents, using radio or telephone communications with control
	center of the facility, and using broad discretion concerning use of weapons, to prevent inmate escapes and the introduction of contraband into the facility.

PERFORMANCE STANDARDS

Maintains continuous surveillance of designated perimeter area Reports any unusual events or conditions to central control for further investigation Responds quickly and appropriately to excape situations.

KNOWLEDGES OR SKILLS REQUIRED

How to apply perimeter security policies and procedures to specific situations
How to use weapons
How to search vehicles and persons
How to use communications equipment.

Knowledge of policies and procedures concerning perimeter security, weapons use, vehicle search, and escape Knowledge of use and care of weapons Knowledge of use of radio communications equipment Observation and surveillance skills Knowledge of types of contraband and methods of introduction.

		Academic education
		Special training, such as academy training, workshops, seminars, or courses
	-	Working with experienced co-worker
	·	On-the-job training by supervisor
		No special training necessary
		Other (please specify):
.		
2.	How	difficult was it for you to learn how to do this task?
		one of the most difficult tasks to learn on the whole job
	_	very difficult to learn
		of moderate difficulty
		of slight difficulty
		not difficult to learn at allcan easily be learned by anyone
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3.	Are	college courses essential or highly necessary for performing this task?
	_	No, the task does not need college training
		Yes. Why?

TASK ANALYSIS FORM

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No	change	change necessary		
	TASK	NO.	Twenty-one	

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TASK:	Delivers orientation session to newly arrived inmates which	includes both structu		
	The state of the s	includes both standa	rd elements and elemen	its tailored
	to the new resident's unique background in order to acquaint	new resident with t	he conditions, rules.	benefits.
,	aids, etc., of the correctional environment.			

PERFORMANCE STANDARDS

Presentation is clear, interesting, and understandable Questions are answered accurately Presentation provides an accurate view of the facility

KNOWLEDGES OR SKILLS REQUIRED

How to communicate in a forceful and understandable manner How to keep the interest and attention of audience

Knowledge of institution's rules, policies, and procedures Knowledge of common problem categories for new inmates Ability to communicate effectively with inmates Knowledge of institutional operations and schedules Knowledge of orientation program goals, objectives, and outlines for presentation to new inmates

1.	What o	do you think is the <u>one</u> best way to learn to do this task?		
		Academic education Special training, such as academy training, workshops, seminars,	or courses	
		Working with experienced co-worker On-the-job training by supervisor		
		On-the-job training by supervisor No special training necessary Other (please specify):		
2.	How di	ifficult was it for you to learn how to do this task? one of the most difficult tasks to learn on the whole job		
		very difficult to learn		
		of moderate difficulty		
		of slight difficulty		
		not difficult to learn at allcan easily be learned by anyone		
3.	Are co	ollege courses essential or highly necessary for performing this ta No, the task does not need college training	sk?	
		Yes. Why?		
				
				

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TASK ANALYSIS INSTRUCTIONS

As part of the National Manpower Survey detailed task descriptions have been prepared for a number of positions in the law enforcement and criminal justice system. In addition to the task descriptions, the knowledges and skills required to do the task and the standards on which performance of the task can be evaluated are set forth.

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The second step is to read the list of knowledges and skills required. It is in the lower right corner of the form. Again, make any changes you think would improve the list--changing the knowledges or skills, adding new ones, or eliminating any you think are not necessary.

Finally, please review the performance standards, in the lower left corner. Again, make any changes, additions, or deletions that you think will improve the list.

If you don't think any changes would improve the task description put a $\sqrt{}$ in the upper right corner of the form.

The last page of the form contains three questions about training or education for this task.

We appreciate your cooperation in this part of the study.

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TASK ANALYSIS FORM

No	change	necessary	,	

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TASK	NO.	4	 	

TASK: Assesses resident's personal information and prepares recommendations, using self-administered diagnostic tools, contacts with interested parties, court records, etc., and own general knowledge and expertise, in order to advise Classification Board/supervisors concerning resident's capabilities for benefit from various programs/treatment.

PERFORMANCE STANDARDS

- Resident successfully participates in recommended programs
- Recommendations accepted without major revision by review committee/supervisor
- Priorities for individualized programs are well-developed and clearly stated

KNOWLEDGES OR SKILLS REQUIRED

- How to synthesize information from various sources
- How to administer and score diagnostic tools
- How to plan effectively for individualized programs
- Knowledge of relationships between test scores and performance in various corrections programs
- Knowledge of prerequisites for program participation
- Knowledge of range of institutional programming opportunities
- Knowledge of resources supplying pertinent resident information
- Ability to write recommendations for resident's individual program plan based upon information gathered

	Academic education	
	Special training, such as academy training, workshops, seminars, or courses	
	Working with experienced co-worker	
	On-the-job training by supervisor	
	No special training necessary	
	Other (please specify):	
2.	How difficult was it for you to learn how to do this task?	
	one of the most difficult tasks to learn on the whole job	
	very difficult to learn	
	very difficult to learn of moderate difficulty	
	of moderate difficulty	
3.	of moderate difficulty of slight difficulty	
3.	of moderate difficulty of slight difficulty not difficult to learn at allcan easily be learned by anyone	
3.	of moderate difficulty of slight difficulty not difficult to learn at allcan easily be learned by anyone Are college courses essential or highly necessary for performing this task?	

TASK ANALYSIS FORM

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	TASK	NO 5	

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POSITION Correctional Counselor

XXX	XXXXXX.	XXXXXXXXX	XXXXXXXXXXXX	XXXXXXXXXX	XXXXXXXXX	XXXXXXXXXX	XXXXXXXXXXXXXXXXXX	(XXXXXXXXXXXX	XXXXXXXXXXXX	(XXXXXXXXXXX	(XXXXXXXXX	XXXXXX
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										*		X

TASK: Establishes and maintains case file, incorporating court records, results of board proceedings, investigations, correspondence, contacts with client, diagnostic evaluations, and personal notations, in order to provide a complete summary, as needed or on a periodic basis, of resident's correctional history and progress.

PERFORMANCE STANDARDS

- Case records/files are complete, organized and accurate.
- Case information is compatible with standing policies and regulations
- Interpretation/explanation of case files are clear, thorough and accurate.

KNOWLEDGES OR SKILLS REQUIRED

- How to analyze and maintain case information and actions
- How to exercise quality control of case actions
- How to establish rapport and elicit information from specific sources
- Knowledge of department/institution policies, procedures and regulations concerning case management
- Knowledge of case work principles, methods and supervision
- Knowledge of resident's environment, needs, and problems
- Ability to interpret and describe the institutional department policies and treatment program

1.	Wha	t do you think is the <u>one</u> best way to learn to do this task?
•		Academic education
	•	Special training, such as academy training, workshops, seminars, or courses
	•	Working with experienced co-worker
		On-the-job training by supervisor
		No special training necessary
		Other (please specify):
2.	How	difficult was it for you to learn how to do this task?
		one of the most difficult tasks to learn on the whole job
		very difficult to learn
		of moderate difficulty
		of slight difficulty
		not difficult to learn at allcan easily be learned by anyone
3.	Are	college courses essential or highly necessary for performing this task?
		No, the task does not need college training
		Yes. Why?

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TASK ANALYSIS FORM

No	change	necessary	
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OSITION Correctional Counselo	209	SIT	ION	Correc	tional	Counse	lor
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ASK	NO.	6	

TASK: Advises residents concerning personal, work or adjustment problems, suggesting remedies, alternative course of action, and additional sources of aid, in order to assist residents resolve problems.

PERFORMANCE STANDARDS

- Provides accurate information about alternatives
- Shows concern and interest in residents' problems
- Refers to other sources of assistance as necessary
- Advice and information provided is timely

KNOWLEDGES OR SKILLS REQUIRED

- How to clarify issues
- How to give support and encouragement
- How to make effective referrals
- Knowledge of work-related problems/needs of residents and possible solutions
- Knowledge of available resources for specialized assistance for residents
- Ability to effectively communicate with residents

	Academic education	
		training, workshops, seminars, or courses
	Working with experienced co-worker	
	On-the-job training by supervisor	
	No special training necessary	
	Other (please specify):	
. Н	How difficult was it for you to learn how t	to do this task?
	one of the most difficult tasks to	
	very difficult to learn	real if the more you
	of moderate difficulty	
	of slight difficulty	-
	not difficult to learn at allcan	easily be learned by anyone
. 4	Are college courses essential or highly ned	cessary for performing this task?
	No, the task does not need college	training
	Yes. Why?	<i>∦</i>

TASK ANALYSIS INSTRUCTIONS

As part of the National Manpower Survey detailed task descriptions have been prepared for a number of positions in the law enforcement and criminal justice system. In addition to the task descriptions, the knowledges and skills required to do the task and the standards on which performance of the task can be evaluated are set forth.

Because of your familiarity with one of the positions under study you have been selected to review some of the task statements. We would like you to read the task statement, making any changes you think are needed to give a good description of the task. You will note that each task statement describes what is done, what is needed to do it, and why it is done.

The second step is to read the list of knowledges and skills required. It is in the lower right corner of the form. Again, make any changes you think would improve the list--changing the knowledges or skills, adding new ones, or eliminating any you think are not necessary.

Finally, please review the performance standards, in the lower left corner. Again, make any changes, additions, or deletions that you think will improve the list.

The last page of the form contains three questions about training or education for this task.

We appreciate your cooperation in this part of the study.

TASK ANALYSIS FORM

x x	xxxxxxxxxxxxxxxxxxxxxxxxx	×xxxxxxxxxxxxxxxxxx	xxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxx
X HOU	ising, employment or other a	opropriate personal in	ne client while on parole, based on current status of x information, obtained by direct contacts with the client x etc.) in order to maintain accuracy of files.
XXXXXXXXXXXXXXX	(XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX	xxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxx	xxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxx
	PERFORMANCE STANDARDS	(x xx xx	KNOWLEDGES OR SKILLS REQUIRED
information Records and i accurate	made periodically to confirm nformation are timely, comp sources of information are	n and update XX lete and XX kept current XX XX XX	How to anlayze and report personal data and behavior activity How to establish rapport and elicit information from particular clients/groups
		n and update lete and kept current XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX	Knowledge of preparation and use of parole reporting forms Awareness of domestic and occupational environments for clients on caseload Knowledge of administrative and parole manual procedures for reporting Ability to elicit information from contacts and sources of information in the community
		XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX	

LOCATION

POSITION Parole Officer

REVIEWED BY

TASK NO. One

1.	What	t do you think is the <u>one</u> best way to learn to do this task?		
	•	Academic education		
	, 	Special training, such as academy training, workshops, seminars, or	courses	
	_	Working with experienced co-worker		
	-	On-the-job training by supervisor		
	_	No special training necessary		
	_	Other (please specify):		
				· · · · · · · · · · · · · · · · · · ·
			•	
2.	How	difficult was it for you to learn how to do this task?		
	_	one of the most difficult tasks to learn on the whole job		
		very difficult to learn		
	_	of moderate difficulty		
	_	of slight difficulty		
	_	not difficult to learn at allcan easily be learned by anyone		
3.	Are	college courses essential or highly necessary for performing this task?		
		No, the task does not need college training		
	-	Yes. Why?		•
	-			

TASK ANALYSIS FORM

POSITION Parole Officer	LOCATION	REVIEWED	ВУ	TASK NO.	Two	2.3
						•

TASK: Advises client concerning housing, employment, education, welfare, community services, etc., using information compiled in files, personal contacts, and general knowledge of the client's personal circumstances, in order-to encourage and assist him/her in adopting a realistic and socially acceptable behavior pattern.

PERFORMANCE STANDARDS

Advice is current, relevant, and timely Background information on clients is thorough and accurate.

Information for available resources for client assistance is current and accurate.

KNOWLEDGES OR SKILLS REQUIRED

How to identify and locate general sources of socially relevant information

X

Х

Х

X X

Х

How to categorize and interpret documentary data How to explain/apply information/material in relation to individual needs

How to listen to client's assessment of problems and respond effectively

Knowledge of local, social and educational services and contacts/documents

Knowledge of records and sources of information in the parole office and community

Ability to provide advice in a manner which will give options for various courses of action by the client

1.	What do you think is the one best way to learn to do this task?	
	Academic education	
	Special training, such as academy training, workshops, seminars, or courses	
	Working with experienced co-worker	
	On-the-job training by supervisor	
	No special training necessary	
	Other (please specify):	·
2.	How difficult was it for you to learn how to do this task?	
	one of the most difficult tasks to learn on the whole job	
	very difficult to learn	
	of moderate difficulty	
	of slight difficulty	
	not difficult to learn at allcan easily be learned by anyone	
3.	Are college courses essential or highly necessary for performing this task?	
	No, the task does not need college training	
	Yes. Why?	

TASK ANALYSIS FORM

POSITION	Parole Officer	LOCATION	REVIEWED BY	TASK	NO. T	Three
. 00212011						

TASK: Writes a recommendation to Supervisory Parole Officer and/or the Parole Board to issue an arrest warrant, based on his review of client records and personal contacts and after consultation with the supervisor, in order to inform the Board that the parolee is in danger of violation of the conditions of release and to begin the formal process of revocation of parole.

PERFORMANCE STANDARDS

Х

Records and information are complete and accurate Recommendation is unbiased and fair Recommendation is comprehensive, clear, and based upon necessary conditions for commencement of revocation process

KNOWLEDGES OR SKILLS REQUIRED

X

Χ

X

X

X X

X

How to analyze and report personal data and behavior activity based upon established procedures/guidelines for revocation reports
How to establish rapport and elicit information from particular clients/groups
How to write a complete and factually accurate revocation

How to write a complete and factually accurate revocation recommendation

Knowledge of administrative and parole manual/procedures for revocation of parole Knowledge of domestic and occupational environments and

situations of caseload clients Knowledge of available alternatives to recommendation for revocation

Ability to write a revocation report in prescribed format

	Academic education
	Tigademi o Cadoudi on
	Special training, such as academy training, workshops, seminars, or courses
	Working with experienced co-worker
	On-the-job training by supervisor
	No special training necessary
	Other (please specify):
2.	How difficult was it for you to learn how to do this task?
	one of the most difficult tasks to learn on the whole job
	very difficult to learn
	of moderate difficulty
	of slight difficulty
	not difficult to learn at allcan easily be learned by anyone
3.	Are college courses essential or highly necessary for performing this task?
	No, the task does not need college training
	Yes. Why?

OMB# 043-S75013 Exp. 7/31/76 LEAA (3600-J)

)0-J)		KNOW	LEDGE CHECKLIST	
Respondent	t's Position_		Title	Location
Position	to be rated:	Correctio	onal Officer	
required I knowledge sults will new employ the posit	by certain po normally fou l permit plar yees up to fu	ositions in and in newl nning of fu all perform	the criminal jus y hired personnel rther education a ance. Because of	n about the level of knowledge tice field, and the level of in those positions. The re- nd training programs to bring your familiarity with one of , you have been selected to
order for usual leved describe assigned	an incumbent el of supervi the level of to the positi	to functi sion provi knowledge on. Use t	on in a capable m ded for the job. that you have obs he same scale, de	owledge that is required in anner, with no more than the Then we would like you to erved in personnel newly scribed below, to rate the ly hired personnel.
	Expert: In-	depth knowledg	e, including applicati	on of knowledge
	High Degree:	·	edgeable. Can apply k	cnowledge in some
	Moderate Deg	•	el of knowledge to peri	form acceptably in
	Slight Degre		ient knowledge to fund	tion in only simple
			o or learned by incumbe	ent.
	he level of I			le that you think best de- le performance in the positio
				hat you think best describes usually brings to the job.
formal tr typical e	aining. If t	this traini orker to be	ng is required by rated on the Pro	ion receive academy or other this agency, consider the ficiency scale as an individu
If femployee	ormal trainin newly assigne	ng <u>is not r</u> ed to the j	equired, rate the	Proficiency of the typical
Is f	ormal traini	ng required	by this Agency f	or this position?
	Y	29	No.	

Pos	Position Title <u>Correctional Officer</u>					REC Leve for perf	OUIF 1 re capa	quir ble			Le	ve1	of t	CIENCY: f typical ssigned		
				E.Ko.	Hior	Mode	Sicrate	Non	/ 8/		High	Mode	Slight	None	7	
Α.		owledge of the principles and procedures of rrectional institution operations										8)				
	٦.	observation and surveillance of inmates	(15)	Ε	Н	М	S	N		E	Н	М	S	N	(16)	
	2.	special procedures for visiting areas, dining areas, maximum security areas	(17)	Ε	Н	М	S	N		Ε	Н	М	S	N	(18)	
	3.	search procedures and identification of contraband	(19)	Е	Н	М	S	N		E	Н	М	S	N	(20)	
	4.	perimeter security	(21)	E	Н	М	S	N		Ε	Н	М	S	N	(22)	
	5.	use and maintenance of weapons	(23)	E	Н	М	S	N		E	Н	М	S	N	(24)	
	6.	inmate count and control	(25)	Ε	Н	М	S	N		Ε	Н	М	S	N	(26)	
	7.	duty positions and posts	(27)	E	Н	М	S	N		Е	Н	М	S	N	(28)	
	8.	facility, disciplinary and Board hearings	(29)	Ε	Н	М	S	N		Е	Н	М	S	N	(30)	
В.		owledge of policies and procedures for mate transportation and movement													: 1	
	1.	required forms authorizing and controlling movement	(31)	E	Н	М	S	N		Ε	Н	М	S	N	(32)	
	2.	use of restraining equipment	(33)	E	Н	М	S	N		Ε	Н	М	S	N	(34)	
	3.	sources of emergency assistance	(35)	Ε	Н	М	S	N		Е	Н	М	S	N	(36)	
	4.	court procedures	(37)	Ε	Н	М	S	N	$\ \ $	E	Н	М	S	N	(38)	
	5.	inmate transfer and discharge	(39)	Ε	Н	M	S	N		E	Н	М	S	N	(40)	
С.		owledge of policies and procedures for adding emergencies	\$ S													
	1.	cues for anticipating trouble	(41)	Ε	Н	М	S	N		Е	Н	М	S	N	(42)	
	2.	resolving problems without physical intervention	(43)	Ε	Н	M	S	N		Е	Н	М	S	N	(44)	
	3.	civil liability of staff	(45)	E	Н	M	S	N		Е	Н	М	S	N	(46)	

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Position Title Correctional Officer				REC		EMI	EN.	<u>T:</u>	PROFICIENCY:						
for									Level of typical newly assigned personnel						
		Expe	High	Mode	Slice	None	<u> </u>	$\int_{-K_{pon}}^{E_{x_{pon}}}$	High	Moder	Slink	None	7		
 community and other resources for emergency assistance 	(47)							Е				N	(48)		
5. use of first aid and emergency equipment	(49)	Ε	Н	М	S	N		E	Н	М	S	N	(50)		
6. use of weapons	(51)	Е	Н	М	S	N		Е	Н	М	S	N	(52)		
7. emergency plans	(53)	Ε	Н	М	S	N		E	Н	M	S	N	(54)		
Knowledge of investigation and search procedures															
1. personal and area searches	(55)	E	Н	М	S	N		Ε	Н	М	S	N	(56)		
2. identification, collection, documentation and preservation of evidence	(57)	Ε	Н	М	S	N		Ε	Н	М	S	N	(58)		
3. mail and package inspections	(59)	Е	Н	М	S	N		Ε	Н	М	S	N	(60)		
4. report writing	(61)	Е	Н	М	S	N		Ε	Н	М	S	N	(62)		
Knowledge of policies and procedures for inmate intake to facility															
1. classification of offenders	(63)	Ε	Н	М	S	N		Ε	Н	M	S	N	(64)		
2. inventory and accomplishment of proper forms	(65)	Ε	Н	M	S	N		Е	Н	М	S	N	(66)		
3. court records and requirements	(67)	Е	Н	М	S	N		Е	Н	М	S	N	(68)		
4. fingerprinting inmates	(69)	E	Н	М	S	N		Е	Н	М	S	N	(70)		
5. photographing inmates	(71)	Ę	Н	М	S	N		Е	Н	М	S	N	(72)		
6. search of inmates and identification of contraband material	(73)	Е	Н	М	S	N		Ε	Н	М	S	N	(74)		
7. orientation of new inmates	(75)	Ε	Н	M	S	N		Ε	Н	М	S	N	(76)		
Knowledge of supervision of corrections personnel and activities															
1. organizing and staffing crews and work shifts	(77)	Е	Н	М	S	N		E	Н	М	S	N	(78)		
	4. community and other resources for emergency assistance 5. use of first aid and emergency equipment 6. use of weapons 7. emergency plans Knowledge of investigation and search procedures 1. personal and area searches 2. identification, collection, documentation and preservation of evidence 3. mail and package inspections 4. report writing Knowledge of policies and procedures for inmate intake to facility 1. classification of offenders 2. inventory and accomplishment of proper forms 3. court records and requirements 4. fingerprinting inmates 5. photographing inmates 6. search of inmates and identification of contraband material 7. orientation of new inmates Knowledge of supervision of corrections personnel and activities 1. organizing and staffing crews and work	4. community and other resources for emergency assistance (47) 5. use of first aid and emergency equipment (49) 6. use of weapons (51) 7. emergency plans (53) Knowledge of investigation and search procedures 1. personal and area searches (55) 2. identification, collection, documentation and preservation of evidence (57) 3. mail and package inspections (59) 4. report writing (61) Knowledge of policies and procedures for inmate intake to facility 1. classification of offenders (63) 2. inventory and accomplishment of proper forms (65) 3. court records and requirements (67) 4. fingerprinting inmates (69) 5. photographing inmates (71) 6. search of inmates and identification of contraband material (73) 7. orientation of new inmates knowledge of supervision of corrections personnel and activities 1. organizing and staffing crews and work	4. community and other resources for emergency assistance 5. use of first aid and emergency equipment 6. use of weapons 7. emergency plans Knowledge of investigation and search procedures 1. personal and area searches 2. identification, collection, documentation and preservation of evidence 3. mail and package inspections 4. report writing Knowledge of policies and procedures for inmate intake to facility 1. classification of offenders 2. inventory and accomplishment of proper forms 3. court records and requirements 4. fingerprinting inmates 6. search of inmates and identification of contraband material 7. orientation of new inmates Knowledge of supervision of corrections personnel and activities 1. organizing and staffing crews and work	4. community and other resources for emergency assistance 5. use of first aid and emergency equipment 6. use of weapons 7. emergency plans Knowledge of investigation and search procedures 1. personal and area searches 6. identification, collection, documentation and preservation of evidence 3. mail and package inspections 4. report writing Knowledge of policies and procedures for inmate intake to facility 1. classification of offenders 2. inventory and accomplishment of proper forms 4. fingerprinting inmates 6. search of inmates and identification of contraband material 7. orientation of new inmates 1. organizing and staffing crews and work E H Knowledge of supervision of corrections personnel and activities 1. organizing and staffing crews and work	4. community and other resources for emergency assistance 4. community and other resources for emergency easistance 5. use of first aid and emergency equipment 6. use of weapons 7. emergency plans 8. (53) E H M 8. Knowledge of investigation and search procedures 9. identification, collection, documentation and preservation of evidence 1. personal and area searches 2. identification, collection, documentation and preservation of evidence 3. mail and package inspections 4. report writing 8. (61) E H M 8. Knowledge of policies and procedures for inmate intake to facility 1. classification of offenders 2. inventory and accomplishment of proper forms 3. court records and requirements 4. fingerprinting inmates 5. photographing inmates 6. search of inmates and identification of contraband material 7. orientation of new inmates 8. H M 8. Knowledge of supervision of corrections personnel and activities 1. organizing and staffing crews and work	4. community and other resources for emergency assistance 4. community and other resources for emergency assistance 4. community and other resources for emergency equipment 5. use of first aid and emergency equipment 6. use of weapons 7. emergency plans Knowledge of investigation and search procedures 1. personal and area searches 2. identification, collection, documentation and preservation of evidence 3. mail and package inspections 4. report writing Knowledge of policies and procedures for inmate intake to facility 1. classification of offenders 2. inventory and accomplishment of proper forms 3. court records and requirements 4. fingerprinting inmates 5. photographing inmates 6. search of inmates and identification of contraband material 7. orientation of new inmates Knowledge of supervision of corrections personnel and activities 1. organizing and staffing crews and work E H M S Knowledge of supervision of corrections personnel and activities	4. community and other resources for emergency assistance 4. community and other resources for emergency assistance 4. community and other resources for emergency equipment 5. use of first aid and emergency equipment 6. use of weapons 7. emergency plans Knowledge of investigation and search procedures 1. personal and area searches 2. identification, collection, documentation and preservation of evidence 3. mail and package inspections 4. report writing Knowledge of policies and procedures for inmate intake to facility 1. classification of offenders 2. inventory and accomplishment of proper forms 3. court records and requirements 4. fingerprinting inmates 5. photographing inmates 6. search of inmates and identification of contraband material 7. orientation of new inmates Knowledge of supervision of corrections personnel and activities 1. organizing and staffing crews and work E U M S N REQUIREM Level require require reportery and sequipment 4. H M S N REQUIREM Level require requirements (49) E H M S N S N REQUIREM Level require requirements (49) E H M S N S N S N REQUIREM Level require requirementy (47) E H M S N S N REQUIREM Level require requirementy (47) E H M S N S N REQUIREM Level required requirementy (47) E H M S N S N S N REQUIREM Level required requirementy (47) E H M S N S N S N S N S N S N S N S	4. community and other resources for emergency assistance 4. community and other resources for emergency assistance 5. use of first aid and emergency equipment 6. use of weapons 7. emergency plans Knowledge of investigation and search procedures 1. personal and area searches 2. identification, collection, documentation and preservation of evidence 3. mail and package inspections 4. report writing Knowledge of policies and procedures for inmate intake to facility 1. classification of offenders 2. inventory and accomplishment of proper forms 4. fingerprinting inmates 5. photographing inmates 6. search of inmates and identification of contraband material 7. orientation of new inmates Knowledge of supervision of corrections personnel and activities 1. organizing and staffing crews and work F. H. M. S. N. S.	4. community and other resources for emergency assistance 4. community and other resources for emergency assistance 5. use of first aid and emergency equipment 6. use of weapons 7. emergency plans Knowledge of investigation and search procedures 1. personal and area searches 2. identification, collection, documentation and preservation of evidence 3. mail and package inspections 4. report writing Knowledge of policies and procedures for inmate intake to facility 1. classification of offenders 2. inventory and accomplishment of proper forms 3. court records and requirements 4. fingerprinting inmates 6. search of inmates and identification of contraband material 7. orientation of new inmates Knowledge of supervision of corrections personnel and activities 1. organizing and staffing crews and work E. H. M. S. N. E. Knowledge of supervision of corrections personnel and activities 1. organizing and staffing crews and work E. H. M. S. N. E. Knowledge of supervision of corrections personnel and activities	### A Community and other resources for emergency assistance	## A community and other resources for emergency assistance 4. community and other resources for emergency assistance 5. use of first aid and emergency equipment 6. use of weapons 7. emergency plans 8. mail and area searches 9. identification, collection, documentation and preservation of evidence 1. personal and area searches 1. personal and area searches 1. personal and package inspections 2. identification, collection, documentation and preservation of evidence 3. mail and package inspections 4. report writing 4. report writing 6. cas E H M S N E H M M M M M M M M M	## REQUIREM: PARTIES Parties Par	### A Community and other resources for emergency assistance 4. community and other resources for emergency assistance 4. community and other resources for emergency assistance 5. use of first aid and emergency equipment 6. use of weapons 7. emergency plans 6. use of weapons 7. emergency plans 6. use of investigation and search procedures 1. personal and area searches 2. identification, collection, documentation and preservation of evidence 3. mail and package inspections 4. report writing 6. use of weapons 6. search of investigation and search procedures 1. personal and area searches 6. search of investigation and search procedures 6. search of investigation and search procedures 6. classification of offenders 6. classification of offen		

ositior	tion Title Correctional Officer				JOB REQUIREMENT				P	PROFICIENCY			
				1	for (capab	required pable mance			Level of typic newly assigned personnel			
			Expe	Hiot	Mode	Slight	None		High	Moder	Slight	None	7
2.	on the job training techniques and procedures	(79)	Е	Н	М	S	N	E	Н	M	S	N	(80
3.	personnel actions	(15)	E	Н	М	S	N	Ε	Н	М	S	N	(16
4.	motivation of inmates and subordinates	(17)	Е	Н	М	S	N	E	Н	М	S	N	(18
5.	administrative report writing	(19)	E	Н	М	S	N	Е	Н	М	S	N	(20
					}								
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	•												
		•											
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					-								
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OMB # 043-S75013 Exp. 7/31/76 EAA (3600-B)

00-B)		KNOWLE	DGE CHECKLIST		
Respondent'	s Position_		Title	· · · · · · · · · · · · · · · · · · ·	Location
			e		Location
Position to	be rated:	Probation	- Parole Offi	cer/Caseworker	
required by knowledge no sults will p new employed	certain pos ormally four permit planr es up to fu ns under stu	sitions in t nd in newly ning of furt Il performan	he criminal j hired personn her education ce. Because	ustice field, ar el in those posi and training pr	itions. The re- rograms to bring rity with one of
order for a usual level describe the assigned to	n incumbent of supervis e level of b the position	to function sion provide knowledge the the	in a capable d for the job at you have o same scale,	knowledge that i manner, with no . Then we would bserved in perso described below ewly hired perso	o more than the d like you to onnel newly , to rate the
	Expert: In-d	epth knowledge, or complex situ	including applications.	ation of knowledge	
	High Degree: unusual or	Highly knowled complex situati	geable. Can appl	y knowledge in some	
	Moderate Degr typical or	<u>ee</u> : Has level usual situation	of knowledge to p	erform acceptably in	
	Slight Degree or routine	: Has sufficie situations.	nt knowledge to f	unction in only simp	ole
	None: Not re	quired by job o	r learned by incu	mbent.	
Circle scribes the you are rat	level of k	on the <u>Job</u> nowledge req	Requirement s uired for cap	cale that you thable performance	nink best de- e in the position
Circle the level o	one letter f knowledge	on the <u>Prof</u> that a newl	iciency scale y hired perso	that you think n usually bring	best describes s to the job.
formal trai	ning. If th ry level won	his training	is required ated on the P	ition receive ad by this agency, roficiency scale	
If for employee ne	mal training	g <u>is not req</u> d to the job	uired, rate t	he Proficiency (of the typical
Is for	mal trainin	g required b	y this Agency	for this posit	ion?
	Ye	S	No		

Position Title Probation-Parole Officer/Caseworker JOB REQUIREMEN Level required for capable performance					<u>r:</u>	PROFICIENCY: Level of typical newly assigned personnel									
				\(\lambda_{i} \)	cxpert u:	4611	Colerate	"Jaht	allo:		Hick	Mos M	Slici	Non	
Α.	Kn	owledge of the judicial and correctional systems	S						7 [
	1.	role of the court in the administration of justice	(15)	E	Н	М	S	N		E	Н	М	S	N	(16)
	2.	functions of the corrections institution	(17)	E	Н	М	S	N		Ε	Н	М	S	N	(18)
	3.	philosophy goals and objectives of parole or probation agency	(19)	E	Н	М	s	N		E	Н	М	s	N	(20)
	4.	organization of law enforcement agencies	(21)	E	Н	М	S	N		Ε	Н	М	S	N	(22)
	5.	future trends in probation and parole	(23)	E	Н	М	S	N		Е	Н	М	S	N	(24)
	6.	interrelationship of the components of the system	(25)	E	Н	М	s	N		E	Н	М	S	N	(26)
	7.	intake operations	(27)	E	Н	М	S	N		Е	Н	М	S	N	(28)
	8.	laws, rules pertaining to probation and parole functions	(29)	Ε	Н	M	S	N		E	Н	M	S	N	(30)
В.	Kn	owledge of case files and information gathering													
	١.	family history	(31)	E	Н	M	S	N		Ε	Н	М	S	N	(32)
	2.	behavior patterns	(33)	E	Н	М	S	N		E	Н	М	S	N	(34)
	3.	economic status	(35)	Е	Н	М	S	N.		Е	Н	М	S	N	(36)
	4.	attitude	(37;	Е	Н	М	S	N		E	Н	М	S	N	(38)
	5.	medical, social, educational history	(39)	Ε	Н	М	S	N		Ε	Н	М	S	N	(40)
	6.	past criminal activity	(41)	Е	Н	М	S	N		E	Н	М	S	N	(42)
	7.	preparation of case history	(43)	E	Н	М	S	N		E	Н	М	S	N	(44)
	8.	investigative techniques	(45)	Е	Н	М	S	N		E	Н	М	S	N	(46)
C.		owledge of planning, managing and administering counseling program		Е	Н	М	S	N		E	Н	М	S	N	
	1.	client history	(47)	E	Н	M	S	N		E	Н	М	S	N	(48)

Positio	n Title <u>Probation-Parole Officer/Caseworker</u>				RE	_	OB REM	ENT	Γ:	ı	PRO	FICI	ENC	:Y:
					Leve for perf	capa		ed	_	ne		ass	typi igne	
			Eyr	His	46,7	Sir	Mor	e /		Hiot	Mod	Sliciate	Non	
2.	patterns of behavior	(49)	E	Н	М	s	N	1 [E	Н	М	S	N	(50)
3.	visits to home, school, work, agency	(51)	E	Н	М	S	N][Ε	Н	М	S	N	(52)
4.	use of volunteers and community resources in probation and parole	(53)	E	Н	М	s	N		E	Н	M ·	S	N	(54)
5.	coordinating client and employer interests	(55)	Е	Н	М	S	N		E	Н	М	S	N	(56)
6.	development and assessment of individual parole/probation plans	(57)	Ε	Н	М	S	N		E	Н	M	S	N	(58)
7.	capabilities and limitations of local social service agencies	(59)	E	Н	М	S	N		Ε	Н	М	S	N	(60)
8.	evaluation of client progress and adjustment	(61)	Ε	Н	М	S	N		Ε	Н	М	S	N	(62)
9.	principles, purposes and benefits of training and education for offenders	(63)	Ε	Н	М	S	N		Ε	Н	М	S	N	(64)
10.	community resource development	(65)	Ε	Н	M	S	Ñ		Ε	Н	М	S	N	(66)
11.	reports and correspondence writing	(67)	Ε	Н	М	S	N		E	Н	М	S	N	(68)
12.	supervision and management techniques	(f,9)	Ε	Н	М	S	N		Ε	Н	М	S	N	(70
13.	probation and parole forms, records and files	(71)	Ε	Н	М	S	N		Е	Н	М	S	N	(72)
14.	requirements for revocation of probation or parole	(73)	Ε	Н	М	S	N		Е	Н	М	S	N	(74)
	owledge of theories, principles and techniques individual and group counseling													
1.	ability to communicate with inmates	(75)	Ε	Н	М	S	N		E	Н	М	S	N	(76)
2.	literature on modern counseling procedures	(77)	Ε	Н	М	S	N		Ε	Н	М	S	N	(78)
3.	standardized and individual diagnostic testing	(79)	Е	Н	М	S	N		Е	Н	М	S	N	(80)
4.	crisis intervention	(15)	Ε	Н	M	S	N		Е	Н	М	S	N	(16)
5.	individual and group counseling procedures	(17)	Ε	Н	М	S	N		Е	Н	М	S	N	(18)

Position	JOB REQUIREMENT: PROFICIE Level required Level of ty for capable newly assig performance personnel								ypic	 :a1				
	•		Exne	7		Sline	- /	· /		. 7			Mone	7
6.	financial, personal and family planning and management for clients	(19)	E	Н	М	S	N		Ε	Н	M	S	N	(20)
7.	community assistance facilities and programs	(21)	Ε	Н	М	S	N		E	Н	М	S	N	(22)
8.	orientation of inmates .	(23)	Ε	Н	М	S	N		E	Н	М	S	N	(24)
9	client work supervision	(25)	E	Н	М	S	N		Ε	Н	М	S	N	(26)
10.	inmate observation, evaluation and assessment	(27)	E	Н	М	S	N		Е	Н	М	S	N	(28)
E. Kno	owledge of:	rde ne u slavkark dobnovanije njam												
1.	personality development	(29)	E	Н	М	S	N		Ε	Н	М	S	N	(30)
2.	causes of abnormal behavior	(31)	E	Н	М	S	N		Е	Н	М	S	N	(32)
3.	group dynamics	(33)	E	Н	М	S	N		Е	Н	М	S	N	(34)
4.	aptitudes, interests and motivations	(35)	Ε	Н	М	S	N		Е	Н	М	S	N	(36)
5.	defenses, neuroses, psychoses	(37)	Ε	Н	М	S	N		Ε	Н	М	S	N	(38)
6.	alcoholism and drug addiction	(39)	E	Н	М	S	N		E	Н	М	S	N	(40)
7.	medical terminology	(41)	Е	Н	М	S	N		Ε	Н	М	S	N	(42)
8.	gang behavior	(43)	Ε	Н	М	S	N		Е	Н	М	S	N	(44)
9.	street terminology	(45)	Ε	Н	М	S	N		Ε	Н	М	S	N	(46)
10.	physical, emotional, mental handicaps	(47)	Ε	Н	M	S	N		Е	Н	М	S	N	(48)
F. Ab	ility to:													
1.	organize factual data	(49)	Ε	Н	M	S	N		Ε	H	М	S	N	(50)
2.	detect discrepancies in information	(51)	Ε	Н	М	S	N		Е	Н	М	S	N	(52)
3.	grasp feelings of interviewee	(53)	E	Н	М	S	N		Е	Н	М	S	N	(54)
4.	establish rapport with client	(55)	Ε	Н	М	S	N		E	H	M	S	N	(56)
5.	instill confidence with client and family	(57)	Ε	Н	М	S	N		Ε	Н	М	S	N	(58)
6.	handle interviewees reluctant to talk	(59)	Ε	Н	М	S	N		Е	Н	M	S	N	(60)

00-C)		KNOWLEDGE CHECKLIST	
Respondent'	s Position	. Title	Location
Position to	be rated:	Correctional Administrat	or
required by knowledge n sults will new employe	/ certain pos normally foun permit plann ees up to ful ons under stu	itions in the criminal jus d in newly hired personnel ing of further education a l performance. Because of	on about the level of knowledge tice field, and the level of in those positions. The rend training programs to bring your familiarity with one of e, you have been selected to
order for a usual level describe thassigned to	an incumbent I of supervis ne level of k o the positio	to function in a capable m ion provided for the job. nowledge that you have obs	escribed below, to rate the
•	Expert: In-de	epth knowledge, including applicator complex situations.	ion of knowledge
	High Degree: unusual or o	Highly knowledgeable. Can apply complex situations.	knowledge in some
	Moderate Degree	ee: Has level of knowledge to per usual situations.	form acceptably in
Value of the second	Slight Degree:	: Has sufficient knowledge to fun	ction in only simple
	None: Not red	quired by job or learned by incumb	ent.
	e level of kr		ale that you think best de- ble performance in the position
			that you think best describes usually brings to the job.
formal tra	ining. If th try level wor	nis training is required by	tion receive academy or other y this agency, consider the oficiency scale as an individua
If for employee ne	rmal training ewly assigned	j <u>is not required</u> , rate the to the job.	e Proficiency of the typical
Is for	rmal training	g required by this Agency t	for this position?
	Yes	No	

Pos	sition	TitleCorrectional Administrator			L	REC evel for co	rec	EME quir ole		<u>T:</u>	Lev	ROF vel o	of t	ypic	
				$\frac{E_{KDon,j}}{E_{LDon,j}}$	High	Model	Sligh	Mone	<u> </u>	Expert	High	Moder	Slight	None	
Α.	Kno	wledge of personnel management													
		rules and regulations concerning personnel actions	(15)	Ε	Н	М	S	N		Е	Н	М	S	N	(16)
	2.	organizing and staffing projects and units	(17)	E	Н	М	S	N		Ε	Н	M	S	N	(18)
	3.	evaluation of job performance	(19)	Е	Н	М	S	N		Ε	Н	М	S	N	(20)
	4.	training needs	(21)	E	Н	М	S	N		Ε	Н	M=	S	N	(22)>
	5.	affirmative action programs/EEOC	(23)	E	Н	М	S	N		Ε	Н	M	S	N	(24) °
	6.	collective bargaining, union agreements and contracts	(25)	Е	Н	М	\$	N		Ε	Н	M	S	N	(26)
	7.	interpersonal relations	(27)	E	Н	M	S	N		Ε	Н	M	S	N	(28)
В.	Kno	owledge of fiscal management													
	1.	funding sources, resources at the local, state, and federal level	(29)	E	Н	М	S	N		Ε	Н	М	S	N	(30)
	2.	budget preparation, presentation and justification	(31)	Е	Н	М	S	N		Е	Н	M	S	N	(32)
	3.	need assessment procedures	(33)	Ε	Н	М	S	N		Ε	Н	М	S	N	(34)
	4.	maintenance of internal fiscal administration	(35)	Ε	Н	М	S	N		Ε	Н	М	S	N	(36)
	5.	accounting and auditing systems	(37)	E	Н	М	S	N		E	Н	М	S	N	(38)
	6.	management techniques (ZBB, PERT, MBO) and forms used	(39)	Е	Н	М	S	N		Ε	Н	М	S	N	(40)
C	CO	owledge of principles and procedures of rrectional planning, program development devaluation													
	1.	current institutional trends and/or innovations	(41)	E	Н	М	S	N		E	Н	М	S	N	(42)
	2.	current community-based trends and/or innovations	(43)	E	Н	M	S	N		E	Н	M	S	N	(44)
grand in		나가 하시 네가는 동안 들어가 그는 이 전문을 하면 다음을 이번 중심을 했다.				rais									

JOB Correctional Administrator REQUIREMENT: PROFICIENCY: Position Title Level required Level of typical for capable newly assigned performance personnel Moderate · Moderate ! Slight Expert (46.) Ε М S 3. program and proposal development Н М S N Н (48)4. policy development and revision (47)S Ė Н M S N E Н М N 5. quantitative and qualitative evaluation (50)(49)S Š Ε М N techniques E Н M N Н application of research techniques and (52)(51)S S Ε М computer systems Н Н M N D. Knowledge of space and facility management 1. space requirements for facility functions Н М S N Ε Н Μ S Ν Ε (54)(53)and operations (56)(55) 2. minimum standards for space utilization E S N Ε Н Μ S N Н М 3. security requirements for areas and/or (58)(57)functions Ε S E М S N Н М N Н 4. computer-assisted procedures for inmate (60)(59)movement and control S S E H M E Н М N N 5. current use of innovative approaches to Μ S (62)Н S Ε H (61) М space design and use in corrections E. Knowledge of legal decisions (local and federal courts) which affect correctional procedures and operations S (64)S М F H М N (63)1. Supreme and Appellate court decisions (66)(65)2. local decisions Ś Ś M Ε Н M N E Н F. Knowledge of systems management S (68)S E H М (67) E Η М N system components-management control (70)(69)2. delegation and review procedures М S N Ε Н М S H (72)(71)3. report and memoranda writing S M Н M E Ш S S Ē H M E $\overline{\mathsf{H}}$ M N (74)(73)4. conducting effective staff meetings (76)(75)М S use of management information systems (MIS) E H M S N E H

ition Title	Correctional Administrator				REO	JC UIR		NT:	:	P	ROF	ICIE	ENC'	<u>Y:</u>
		•		1	evel for coerfo	apat	le :	ed		nev		assi	ypic gned	
•			Experi	High	Modan	Stick	None	,//	Expert	High	Moder	Slight	Hone	7
Knowledge	e of the correctional system	-												
l. role of just	of corrections in the administration stice	(77)	Е	Н	М	S	N		E.	н	М	S	N	(78)
2. historopera	rical perspective on correctional tions	(79)	Е	Н	М	S	N		Е	Н	М	S	N	(80)
	relationship of corrections and other nents of the CJ system	(15)	E	Н	М	S	N		Е	Н	М	S	N	(16)
4. role	of law enforcement agencies	(17)	Ε	Н	М	S	N		Ε	Н	М	S	N	(18)
5. role	of courts	(19)	E	Н	М	S	N		Ε	Н	М	S	N	(20)
6. the p	arole/probation function	(21)	E	Н	М	S	N		Е	Н	М	S	N	(22)
7. organ resou	ization-facilities, staffing, and rces	(23)	Е	Н	М	S	N		Е	Н	М	S	N	(24)
8. legal	developments/trends in corrections	(25)	Е	H	М	S	N		Ε	Н	М	S	N	(26)
	e of procedures and resources for ional disruptions and emergencies													
1. resou	rces available	(27)	Ε	Н	M	s	N		Е	Н	М	S	N	(28
	y decisions concerning intervention ppropriate response	(29)	Ε	Н	М	S	N		Ε	Н	М	S	N	(30
3. publi	c relations	(31)	E	Н	М	S	N		Е	Н	М	S	N	(32

National Manpower Survey Corrections Team

ADULT DEPARTMENTAL/AGENCY/FACILITY PERSONNEL SURVEY FORM

This form asks for certain information about this Department/Agency/Facility. Since the form is designed to be used with all levels of Corrections, you may find that some of the information asked for is not relevant to your Department, Agency, or Facility. Provide only the information that is pertinent to this specific Department, Agency, or Facility.

Individu	al to be contacted about this	survey:	
Position	:		
Telephon	e Number: (area code)		
Name of	Department/Agency/Facility: _		
Address:	Street	·	
	City	State	Zip Code

NOTE: Sections A and B should be conducted by personal interview; the remaining sections, once explained, can be completed by Personnel Department staff with input from other departments as required.

(,)	Section	on A: General Information
A	A-1.	Check all of the functions which are directly supervised (i.e., fall under budgetary control) of this Department/Agency/Facility.
		Adult Corrections
		☐ Juvenile Corrections
		Adult Parole
		Adult Probation
		Adult Probation/Parole
		☐ Juvenile Parole (Aftercare)
		☐ Juvenile Probation
<u></u>		☐ Juvenile Probation/Parole
A	A-2.	Please check all the types of facilities and give the numbers which are currently administered by this Department, Agency, or Facility.
		Facilities Adult # Juvenile #
		Maximum security
		Medium security
		Minimum security
囚	A-3.	At the end of the previous fiscal or calendar year (fill in appropriate date), 19, approximately what percent of incarcerated residents were supervised (leave blank those categories not relevant):
		Adult Juvenile
		a.) in maximum security facilities % %
		b.) in medium security facilities % %
		c.) in minimum security facilities % %
		How many adults were incarcerated?
		How many juveniles were incarcerated?
图	A-4.	Complete this item only if this Department/Agency/Facility supervises probation and/or parole. As of the end of the previous fiscal/calendar year, what were the:
		<u>Adult</u> <u>Juvenile</u>
		number of parolees
		number of probationers
		number assigned to community facilities (halfway houses, group homes, etc.)

A

A-5. Total number of admissions, retentions, and releases by this department for 1973 and 1974.

		1973			1974	
	Admissions	Retentions	Release	Admissions	Retentions	Release
Misdemeanants					· · · · · · · · · · · · · · · · · · ·	
Felons				l I		

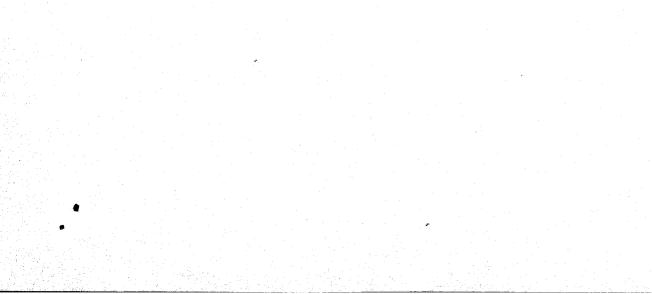
Section B. Special Topics

•	EEO,	/Affirmative	Action

B-1.	Is there any formal equal employment opportunity or affirmative action program directed at specific priorities in this headquarters/agency?
	Yes (describe)
	□ No (go to 2)
B-2.	Are there more minorities and/or women employed in the pertinent key occupations now as compared to, say, five years ago?
	a. Yes (go to 2b)
	No (go to next topic, §-7)
	 Note: Ask for detailed data on the number of minority and/or women employed in each pertinent occupation for the years 1970 - 1975 (or as many of these years as possible).
	* The second sec
B-3.	How has the program affected hiring policies and selection/promotion standards (e.g., emphasis of filling vacancies with blacks, women, etc.)?
. *	

A	B-4.	Has the program and/or t and women in the pertine If so, please describe.					
A	B-5.	Are minorities (includin facilities? If yes, why		in certain posts or			
	B-6.	Has the emphasis on mino problems (e.g., ability minorities with other em	to recruit in rural				
	•	Unions/Civil Service					
	B-7.	Which of the occupationa tion are covered by unio which by Civil Service?					
			Union	Civil Service			
	Correction Administ	onal Institution crators					
	Community Administ	Correctional crators					
	Correction	onal Officer					
	Counselor	//Caseworker					
	Probation	n Officer					
	Parole Of						
		n/Parole Officer*					
	ruse on	ly if functions are combin	ea. —				

										
Salaries										
Benefits								•		
Job Assignments					-					
Work Loads										
Working Conditions								-	- 11 11	
Promotion Policies										
Retention Policies			-							
Job Description										
Related new or Emerging Position						1.5		•		
Other (specify)										
	dete	ermin	e wh	ether	un	ions	inf	lue	nce	will
				. 13	·					
	Other (specify)	Benefits Job Assignments Work Loads Working Conditions Promotion Policies Retention Policies Job Description Related new or Emerging Position Other (specify)	Benefits Job Assignments Work Loads Working Conditions Promotion Policies Retention Policies Job Description Related new or Emerging Position Other (specify)	Benefits Job Assignments Work Loads Working Conditions Promotion Policies Retention Policies Job Description Related new or Emerging Position Other (specify)	Benefits Job Assignments Work Loads Working Conditions Promotion Policies Retention Policies Job Description Related new or Emerging Position Other (specify) major factors will determine whether rease or decrease?	Benefits Job Assignments Work Loads Working Conditions Promotion Policies Retention Policies Job Description Related new or Emerging Position Other (specify) the major factors will determine whether unrease or decrease?	Benefits Job Assignments Work Loads Working Conditions Promotion Policies Retention Policies Job Description Related new or Emerging Position Other (specify) the major factors will determine whether unions rease or decrease?	Benefits Job Assignments Work Loads Working Conditions Promotion Policies Retention Policies Job Description Related new or Emerging Position Other (specify) major factors will determine whether unions infrease or decrease?	Benefits Job Assignments Work Loads Working Conditions Promotion Policies Retention Policies Job Description Related new or Emerging Position Other (specify) comajor factors will determine whether unions influences or decrease?	Benefits Job Assignments Work Loads Working Conditions Promotion Policies Retention Policies Job Description Related new or Emerging Position Other (specify) the major factors will determine whether unions influence rease or decrease?



CONTINUED

16 OF 19

a.	Salaries	
b.	Benefits	
с.	Job Assignments	
d.	Work Load	
e.	Working Conditions	
f.	Promotion Policies	
g.	Retention Policies	
h.	Job Description	
i.	Related New or Emerging Positions	
j.	Other (specify)	
wi	11 increase or decreas	determine whether Civil Service influer e (e.g., major cutbacks in funds; push state employers, etc.)?

	b.	About what percent of the pertinent key occupations have this type of Civil Service rating?	
		Correctional Institution Administrator%	
		Community Correctional Administrator%	
		Correctional Officer %	
		Counselor/Caseworker%	
		Probation Officer%	
		Parole Officer %	
		Probation/Parole Officer* %	
		* Use only if functions combined.	
B-11.	and (e.	general, how well has Civil Service facilitated the acquisition of personnel who are effective correctional workers g., does it provide necessary flexibility to meet new or changeds; can one "get rid" of ineffective employees, etc.)?	
D 70		rging Occupations	
B-12.	Are age	e there any new, emerging occupations in this headquarters/ency which are becoming more prominent?	
		☐ Yes	
	•	□ No (go to 13)	
	a.	. What are they?	•
	b.	. Why are they emerging?	

	c.	How many people are involved?
	d.	What will be the major factors influencing the emerging occupations?
B-13.	tic	any of the pertinent key occupations do things that are dras- ally different than previously even though the titles are the e? If yes,
	a.	What occupations?
	b.	What do they do that is significantly different from before?
	c.	Why are they doing these things?
• [Resea	arch/Special Studies
B-14.	pla off	s the Department, Agency, or Facility have a separate research and nning unit for special studies of different functions (for example, ender recidivism, community program success rate, parolee recidim, etc.)?
	Yes	No (go to B -15)
	a.	If yes, how many full-time equivalent staff (excluding clerical) were employed in this unit as of June 30, 1975?

A

b.	If yes, where do the funds come percent of support do they represent	
	☐ Federal	%
	☐ State	%
	☐ County	%
	City	%
	☐ Combination (specify)	<u>%</u>
c.	If Federal checked, what Federal	Agency provided the funds?
B-15.	Have there been any special studi	
	If yes,	
	a. Who conducted the studies	s?
	b. What impact did they have	2?

c. Are any similar studies contemplated for the future?

Section C: Employment in the Department/Agency/Facility

This section deals with current, past and projected employment for the entire organization as well as for selected key occupations. For purposes of this survey, the key occupations in corrections are described here. Since not all key occupations may be relevant to this specific Department/Agency/Facility, provide information only on those that are.

Correctional Institution Administrator

This is the highest level position with overall responsibility for the daily operation of a correctional facility with more than 200 residents. The position also includes those assistants who have responsibility for a major portion of facility operations. Position title examples are: Warden, Deputy Warden, Superintendent, Sheriff, etc.

Community Correctional Administrator

The person who has direct responsibility for the daily operation of a smaller, community-based correctional facility or program (200 residents or less). This position includes work camp or farms if the emphasis of the facility is on participation of the residents in work, school, and recreational activities in the community. These facilities usually emphasize a wide variety of programs and citizen-volunteer involvement. Position title examples are: Community Facility Manager, Work Release Supervisor, Superintendent, Director, etc.

Correctional Officer

All persons who have direct responsibility for the custody, security, and safety of residents of a correctional facility. Incumbents can work at the following types of facilities: large medium-maximum security institutions; small, community-based facilities; local jails; juvenile detention centers. Position title examples are: Guard, Custodial Officer, Jailer, Matron, House Parent, Residential Supervisor, etc.

Counselor/Caseworker

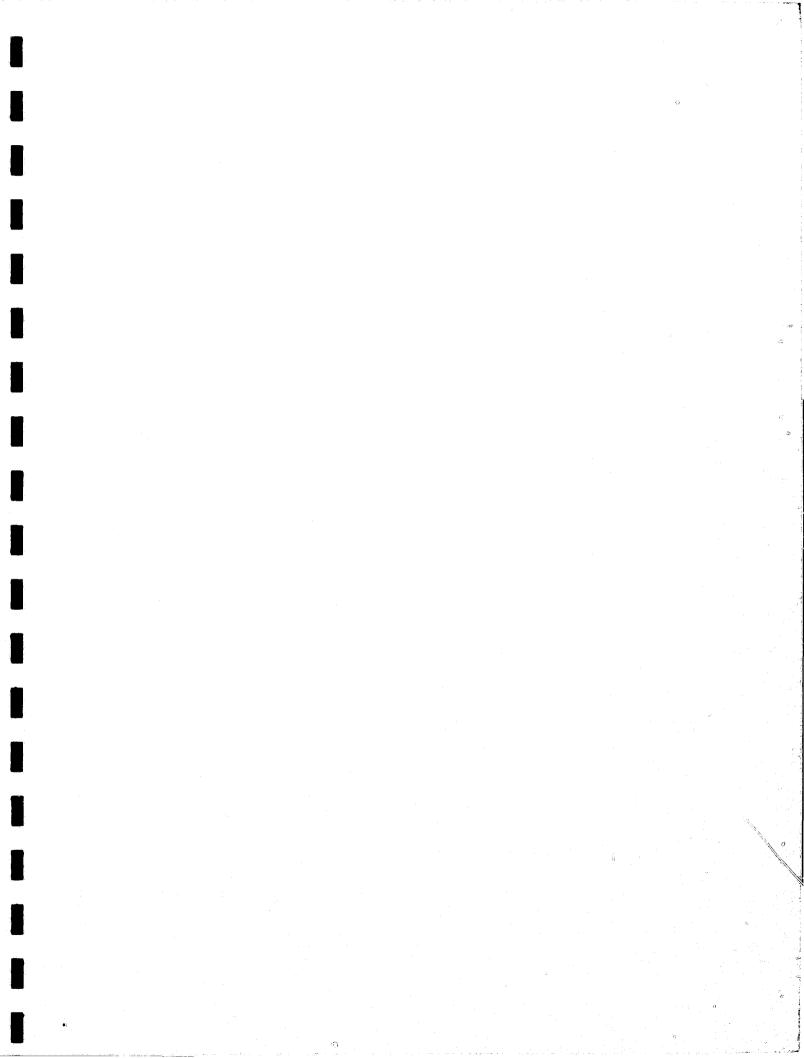
A person who has "line" responsibilities for "treatment" and service delivery to residents of a correctional facility. The incumbent may be a highly skilled counselor/social worker or an ex-offender whose primary emphasis is advocacy of resident needs and priorities. Position titles may be Correctional Treatment Specialist, Classification and Parole Officer, Case Manager, Advocate, Counselor, Social Worker, etc.

Probation Officer

The person who provides direct supervision and support for persons currently on probation.

Parole Officer

The person who provides direct supervision and support for persons currently on parole.



Employment Data

- The chart below asks for current, past, and projected employment for the entire Department, Agency, or Facility and for the key corrections occupations. Complete the sections which are appropriate for this organization.
- Information for 1976 will have to be your best possible projections.
- If specific employment information is not available for 1973-1975, please estimate and star (*) all such estimates.

C-1. How many personnel were employed by the Department/Agency/Facility at the <u>end</u> of these fiscal or calendar years (fill in appropriate dates below)? What is the position/inmate ratio for each year?

. 1973 . 1974 . 1975 1976 Total Department/Agency/ Facility Staff No. of | Ratio No. of Ratio No. of Ratio No. of Ratio Correctional Institution Administrators Community Correctional Administrators Correctional Officers Counselor/ Caseworkers Probation Officers Parole Officers *Probation/Parole Officers

*Use only if the staff person supervises both probationers and parolees (combined function).

New Hires

C-2. For each of the key occupations applicable to your Department, Agency, or Facility, please indicate the number hired during the time periods listed and the approximate percent of new hires who had previous experience in jobs similar to those for which they were hired.

Fiscal or Calendar Year Ending as of

	, 1973,1974 (or m	ost recent)
	Multiper % Experience Multiper % Previous ence	
Correctional Institution Administrators		
Community Correctional Administrators		
Correctional Officers		
Counselors/ Caseworkers		
Parole Officers		
Probation Officers		
Parole/ Probation*		

^{*}Complete only if parole/probation functions are combined.

C-3. Provide entry level requirements for occupations pertinent to this HQ/agency. Use bottom and back of the page if more space for recording answers is needed. (Note: The listed occupational categories may have several levels, each with different requirements. If so, attach job descriptions rather than try to record everything here.)

	kge	Educar	PHYS	Mork Experice	Other
Correctional Institution Administrator					
Community Correctional Administrator					
Correctional Officers					
Counselor/ Caseworkers					·
Probation Officers					
Parole Officers					
Probation/ Parole Officers*					

^{*}Use only if functions are combined.

C-4. For each pertinent occupation, how have entry level requirements changed over the last five years and how are they likely to change during the next five years?

	Changes in requirements during last five years	Likely changes in require- ments in next five years
Correctional Institution Administrator		•
Community Correctional Administrator		·
Correctional Officers		
Counselor/ Caseworkers		
Probation Officers		
Parole Officers		
Probation/ Parole Officers*		

C-5.	What have been the major factors leading to the changes made in entry requirements over the past five years (e.g., increased job complexity requires college degrees, shift from a "custody" to a "treatment" philosophy)?
C-6.	What will be the major factors that will influence changes in entry requirements in the future?

Section D. Recruitment and Selection

D-1. This chart deals with which correctional occupations are entry-level and have minimum educational requirements for employment. Please complete this chart for your Department/Agency/Facility. Check ($\sqrt{}$) N/A if an occupation is not pertinent for your organization.

	Correctional Officer N/A	Correctional Counselor/ Caseworker	Parole Officer	Probation Officer	Parole/ Probation* Officer
Is position entry-level?	☐ Yes ☐ No	☐ Yes ☐ No	☐ Yes ☐ No	☐Yes ☐ No	☐Yes ☐ No
Where do personnel filling these positions come from? Check (✓) all relevant categories.	☐ New Hires ☐ Transfers ☐ Promotions	☐ New Hires ☐ Transfers ☐ Promotions	☐ New Hires ☐ Transfers ☐ Promotions	☐ New Hires ☐ Transfers ☐ Promotions	☐ New Hires ☐ Transfers ☐ Promotions
Is there minimum education requirement?	☐ Yes ☐ No	☐ Yes ☐ No	☐ Yes ☐ No	☐Yes ☐ No	□Yes □ No
If Yes, please list education requirement and major field, if any (for example, high school diploma or G.E.D., master's degreesocial work).					
Does selection involve a Civil Service type examination?	Yes No	Yes No	☐ Yes ☐ No	☐ Yes ☐ No	☐Yes ☐ No

^{*}Complete only if parole/probations functions are combined.

D-2. What recruiting sources are used for securing candidates for vacancies in each of the pertinent occupations and which source is relied on most for each occupation? Check as many categories as necessary.

	017/896	Vocationities Commissionities	ntra-HC COTOOLS	the tem gency 8	erectional	Polit Cont	eni dal Aprils	Populatis	other Jun	•	Source Used Most
Correctional Institution Administrator	00		70	0 5	3	7	9	-	<u> </u>	·	
Community Correctional Administrator											
Correctional Officers											
Counselor/ Caseworkers											
Probation Officers											
Parole Officers										•	
Probation/ Parole Officers*											

^{*}Use only if functions are combined.

- D-3. (Answer only if colleges/universities checked.) Which subject matter areas or college programs furnish most of the candidates for vacancies (e.g., social work, psychology, criminal justice, counseling, etc.)?
- D-4. How have the recruiting sources changed over the last five years and how will they likely change during the next five?
- D-5. What major problems are encountered when recruiting candidates for the pertinent key occupations on the chart?

Section E. Promotion/Career Ladders

E-1. If there is a formal career ladder for any pertinent occupation, briefly describe the expected career progress for each occupation.

	Formal Ladder Yes No	Description of typical career progression
Correctional Institution Administrators		
Community Correctional Administrators		
Correctional Officer		
Counselor/ Caseworker		
Probation Officer		
Parole Officer		
Probation/ Parole Officer*		

^{*}Use only if functions are combined.

E-2. What factors are used to determine eligibility for promotion within each pertinent occupation or to a new occupational position? Check as many as necessary for each occupation.

	Supervisor Evaluations	はして	Promotion	Type of	Experience in Rank	Level of	Formal	Education	Training	Other
Correc. Inst.				T		Π				
Administrators			<u> </u>	_						
Comm. Correc.										
<u>Administrators</u>		<u> </u>								
Correctional										
Officer				\perp						
Counselor/										
Caseworker			<u> </u>	_L_						
Probation							- 1			
Officer									l	
Parole				T						
Officer			l	_						
Proba./Parole										
Officer*			<u> </u>							

*Use only if functions are combined.

E-3. What are the minimum standards for promotion within each pertinent occupation? (Note: the listed occupational categories may have several levels, each with different promotional standards. If so, attach documents/descriptions if available rather than record everything here.)

		//	eve)	100/10			of ther ience	
	POE	Egn.	Sign of the state	Time of	169.57	146	out they	Other (specify)
Correc. Inst. Administrators								
Comm. Correc. Administrators								
Correctional Officer								
Counselor/ Caseworker								
Probation Officer								
Parole Officer								
Proba./Parole Officer*								

^{*}Use only if functions are combined.

E-4. E-5.	Who determines the standards for promotion (e.g., Civil Service; unions; local administrator, etc.)?
	How are the standards for promotion determined (e.g., by formal studies of other correctional systems; local committees, etc.)?

*

Section F. Voluntary Resignations/Retirements/Turnover

F-1. Considering only the positions listed below which are relevant to this Department, Agency, or Facility, please provide information on total separations and the number who resigned voluntarily, retired, or left for other reasons during the two time periods indicated.

Fiscal or Calendar Years Ending as of , 1974 (or most recent) , 1973 School Spanetins Soon to line of the son of the so Soprolinter Poluntory Vosionory Vosionory Poe'r Men's Si Marie Si (Notes) Correctional Institution Administrators Community Correctional Administrators Correctional **Officer** Counselor/ Caseworker Parole Officer 0 Probation Officer *Parole/ Probation Officer

^{*}Complete only if the parole/probation functions are combined.

F-2.	What are the major underlying reasons for the turnover experienced this Department/Agency/Facility?
F-3.	Will the turnover rate remain about the same, increase, or decrease over the next three years and why?
	Same
	Increase
	Decrease
F-4.	If there were a serious cutback in funds (e.g., New York City) which of the pertinent key occupations would be most affected? What would be the major impact on the headquarters/agency?
	·

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Additional Information Needed

In order to help us complete the National Manpower Survey, it would be most helpful if we could get some additional information about this Department, Agency, or Facility. If possible and if available, would you please include the following information with the completed survey form.

- A copy of the Department-wide, Agency, or Facility organizational chart.
- A copy of the most recent Annual Report.
- A copy of the most recent staffing documents and, if available, one of about five years ago, which indicate the number of authorized positions in the Department/Agency/Facility for each job title and the number of actual positions filled.
- A copy of the results of any study that might have been done in the last five years on turnover for correctional officers, counselor/caseworkers, parole officers, or probation officers.

Please return the completed survey form and the information listed above to:

American Institutes for Research National Manpower Survey 3301 New Merico Avenue, N. W. Washington, D. C. 20016

National Manpower Survey Corrections Team

JUVENILE DEPARTMENTAL/AGENCY/FACILITY PERSONNEL SURVEY FORM

This form asks for certain information about this Department/Agency/Facility. Since the form is designed to be used with all levels of Corrections, you may find that some of the information asked for is not relevant to your Department, Agency, or Facility. Provide only the information that is pertinent to this specific Department, Agency, or Facility.

ndividual to be contacted about this survey:				
Position	:			
Talanhan	o Numbous	- 		
ie iebuou	e Number:(area code)			
Name of	Department/Agency/Facility:			
Address:				
	Street			
	City	State	Zip Code	

NOTE: Sections A and B should be conducted by personal interview; the remaining sections, once explained, can be completed by Personnel Department staff with input from other departments as required.

Secti	Section A: General Information			
A _{A-1} .	Check all of the functions which are directly under budgetary control) of this Department/Ag	supervise gency/Faci	ed (i.e., fall lity.	
	Adult Corrections	•	and the second s	
	Juvenile Correction	ons		
	☐ Adult Parole		•	
	☐ Adult Probation			
	Adult Probation/Pa	arole		
•	☐ Juvenile Parole (/		\	
•	☐ Juvenile Probation			
	☐ Juvenile Probation			
rate:		•		
A A-2.	Please check all the types of facilities and are currently administered by this Department	give the m , Agency,	numbers which or Facility.	
	Facilities Adult # Juvenile	#		
•	Maximum security			
	Medium security		•	
•	Minimum security Institution	· ·		
A A-3.	At the end of the previous fiscal or calendar priate date), 19, approof incarcerated residents were supervised (leanot relevant):	roximately	/ what percent	
		Adult	<u>Juvenile</u>	
	a.) in maximum security facilities	<i>%</i>	%	
	b.) in medium security facilities	%	 %	
	c.) in minimum security facilities	<u></u> %	%	
	How many adults were incarcerated?			
				
	How many juveniles were incarcerated?			
A A-4.	Complete this item only if this Department/Age vises probation and/or parole. As of the end fiscal/calendar year, what were the:			
		<u>Adult</u>	<u>Juvenile</u>	
	number of parolees	and the second s		
	number of probationers			
	number assigned to community facilities			
	(halfway houses, group homes, etc.)			

A-5. Total number of admissions, retentions, and releases by this department for 1973 and 1974.

1973

1974

Status Off.
Delinquent

Admiss.	Retent.	Release	Admiss.	Retent.	Release

- A-6. What is the policy of this Department with regard to status offenders and delinquents?
 - a. Are they housed in separate facilities (describe)?
 - b. Are they separated from Adults and Adult facilities (describe)?
- A-7. If status offenders and delinquents are separated from each other and/or from adults,
 - a. How long has this been the case?
 - b. How has this been accomplished (building new facilities, mandated by law, etc.)?

Section	on B. Special Topics
	EEO/Affirmative Action
A _{B-1} .	Is there any formal equal employment opportunity or affirmative action program directed at specific priorities in this headquarters/agency?
	Yes (describe)
<u></u>	□ No (go to 2)
$\begin{bmatrix} A \end{bmatrix}_{B-2}$.	Are there more minorities and/or women employed in the pertinent key occupations now as compared to, say, five years ago?
	a. Tes (go to 2b)
	☐ No (go to next topic, B-7)
•	b. Note: Ask for detailed data on the number of minority and/or women employed in each pertinent occupation for the years 1970 - 1975 (or as many of these years as possible).
•	
B-3.	How has the program affected hiring policies and selection/promotion standards (e.g., emphasis of filling vacancies with blacks, women, etc.)?

· \$

A _{B-4} .	Has the program and/or the increased representation of minorities and women in the pertinent occupations affected staff morale? If so, please describe.					
A _{B-5} .	Are minorities (including w facilities? If yes, why?	omen) placed onl	y in certain posts or			
B-6.	Has the emphasis on minorit problems (e.g., ability to minorities with other emplo	recruit in rural				
•	Unions/Civil Service					
8-7.	Which of the occupational oction are covered by union owhich by Civil Service?					
		Union	Çivil Service			
Correction Adminis	onal Institution trators					
Community Adminis	y Correctional trators					
Housepar	ent, Living Unit Staff, etc.					
Counselor Case Mar	r, Social Worker, nager					
After Car Worker, Parole (re Worker, Court Service Juvinile Probation/ Officer					
	, • <u>.</u>					

_ `_								
B-8a.	IF UNION	checked.	answer	#8How	has	the	union	affected:

		+ • •
a.	Salaries	
b.	Benefits	
c.	Job Assignments	
d.	Work Loads	
e.	Working Conditions	
f.	Promotion Policies	
g.	Retention Policies	
h.	Job Description	
i.	Related new or Emerging Position	
j.	Other (specify)	
		
	it major factors will crease or decrease?	determine whether unions influence will
	Ordered Control of Con	
	and the second second second second second second second second second second second second second second seco	

b.

a.	Salaries	
b.	Benefits	
с.	Job Assignments	
d.	Work Load	
e.	Working Conditions	
f.	Promotion Policies	
g.	Retention Policies	
h.	Job Description	
i.	Related New or Emerging Positions	
j.	Other (specify)	
wil	I increase or decreas	determine whether Civil Service influence (e.g., major cutbacks in funds; push state employers, etc.)?
· <u> </u>		

	ь.	About what percent of the pertinent key occup type of Civil Service rating?	pations have this
		Correctional Institution Administrator	% _
		Community Correctional Administrator	%
		Houseparent, Living Unit Staff, etc.	%
		Counselor, Social Worker, Case Mgr.	%
		After Care Worker, Court Service Worker, Juv. Prob./Par. Officer	%
	•		
B-11.	and (e.	general, how well has Civil Service facilitated retention of personnel who are effective corg., does it provide necessary flexibility to eds; can one "get rid" of ineffective employees	rectional workers meet new or changi
•			
•	Emer	ging Occupations	
A _{B-12} .	Are age	there any new, emerging occupations in this-lency which are becoming more prominent?	neadquarters/
		Yes	
•	•	☐ No (go to 13)	
	a.		
		mide are oney.	
	b.	Why are they emerging?	

	C.	How many people are involved:
	d.	What will be the major factors influencing the emerging occupations?
A _{B-13} .	tica	any of the pertinent key occupations do things that are dras- ally different than previously even though the titles are the e? If yes,
	a.	What occupations?
	b.	What do they do that is significantly different from before?
• • • • • • • • • • • • • • • • • • •		
	c.	Why are they doing these things?
	Resea	rch/Special Studies
A _{B-14} .	offe	s the Department, Agency, or Facility have a separate research and unit for special studies of different functions (for example, ender recidivism, community program success rate, parolee reciding, etc.)?
	Yes	No (go to B -15)
	a.	If yes, how many full-time equivalent staff (excluding clerical) were employed in this unit as of June 30, 1975?
Strain Strain Control		

• • •

☐ Federal	<u>%</u>
☐ State	<u>%</u>
☐ County	<u>%</u>
☐ City	<u>%</u>
☐ Combination (specify)	%

- B-15. Have there been any special studies conducted on personnel/manpower needs in this headquarters/agency in the last five years?
 - If yes,
 - a. Who conducted the studies?
 - b. What impact did they have?
 - c. Are any similar studies contemplated for the future?

For purposes of this survey, the key occupations in corrections are described here. Since not all key occupations may be relevant to this specific Department/Agency/Facility, provide information only on those that are.

Correctional Institution Administrator

This is the highest level position with overall responsibility for the daily operation of a juvenile detention/treatment facility. Such a facility may be designated as a Learning Center or Youth Development Center, but regardless of terminology, the primary emphasis is upon treatment in a security setting.

Community Correctional Administrator

The position with responsibility for overall delivery of services to juvenile offenders in a community or non-security setting. This position may be Director, Group Homes, or some similar title which indicates responsibility for treatment service delivery to juvenile offenders in minimal or non-security settings.

Houseparent, Living Unit Staff, etc.

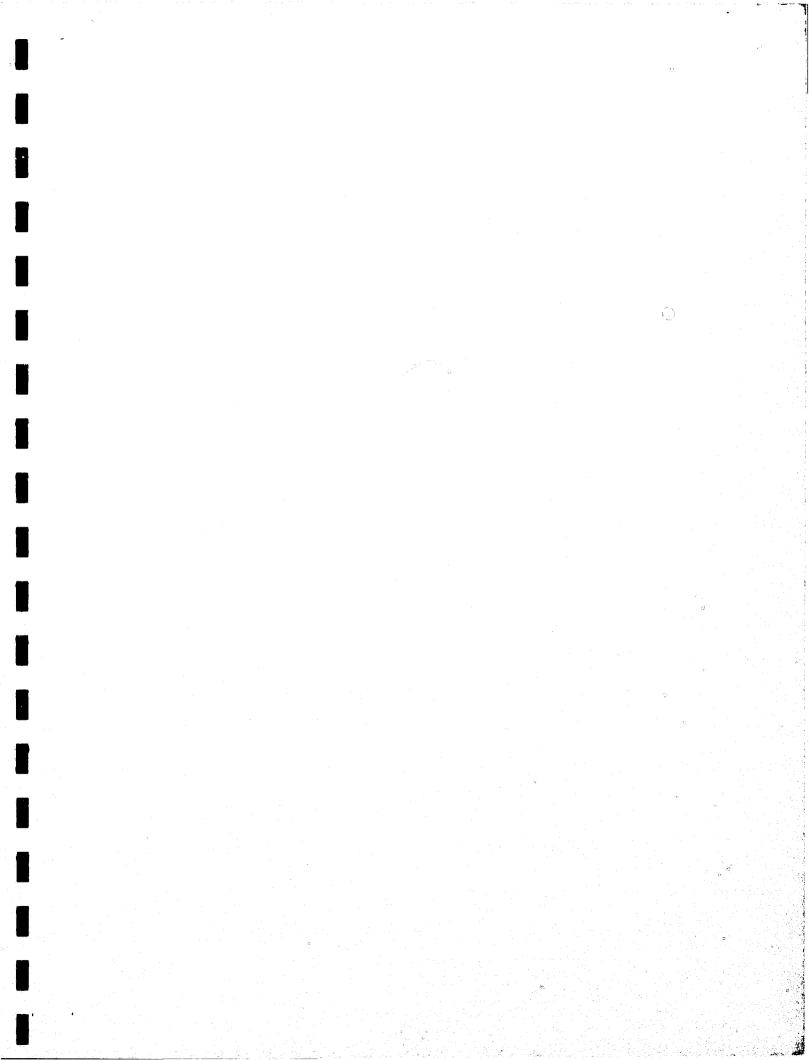
Persons who have direct responsibility for the supervision and/or custody of children in a juvenile facility. This basic line custody position may involve some opportunity for counseling, etc., but is mainly directed toward supervision of children and detention areas.

Counselor, Social Worker, Case Manager

Persons who are responsible for the "treatment" program for juvenile offenders. Position probably entails counseling, record-keeping, coordination with youths' families, recommendation for release from detention facility, etc. This basic casework position focuses primarily on treatment service delivery in a juvenile facility.

After Care Worker, Court Service Worker, Juvenile Probation/Parole Officer

Persons who are responsible for supervision of children in the community, either released directly by the courts or from a juvenile facility. This is the basic treatment/service delivery position in non-detention settings.



Section C: Employment Data

- The chart below asks for current, past, and projected employment for the entire Department, Agency, or Facility and for the key corrections occupations. Complete the sections which are appropriate for this organization.
- Information for 1976 will have to be your best possible projections.
- If specific employment information is not available for 1973-1975, please estimate and star (*) all such estimates.
- How many personnel were employed by the Department/Agency/Facility at the end of these fiscal or calendar years (fill in appropriate dates below)? What is the position/inmate ratio for each year?

		_, 1973		, 1974	. 	, 1975		, 1976
Total Department/Agency/ Facility Staff				K.				
	No. of	Ratio	No. of	Ratio	No. of	Ratio	No. of	Ratio
Correctional Institution Administrators								•
Community Correctional Administrators								
Houseparent, Living Unit Staff, etc.								
Counselor, Social Worker, Case Manager								
After Care Worker, Court Serv. Worker, Juv. Prob./Par. Off.								

New Hires

AC-2. For each of the key occupations applicable to your Department, Agency, or Facility, please indicate the number hired during the time periods listed and the approximate percent of new hires who had previous experience in jobs similar to those for which they were hired.

Fiscal or Calendar Year Ending as of

			, 1973]	,1974 (or	most recent)
	humber this red	% Experience	Munberd	Previous % Craerien	,
Correctional Institution Administrators					
Community Correctional Administrators					
Houseparent, Living Unit Staff, etc.					
Counselor, Social Worker, Case Hanager					
After Care Worker, Court Service Worker, Juvenile Probation/Parole Off.					

C-3. Provide entry level requirements for occupations pertinent to this HQ/agency. Use bottom and back of the page if more space for recording answers is needed. (Note: The listed occupational categories may have several levels, each with different requirements. If so, attach job descriptions rather than try to record everything here.)

1	Age	Educar	phys	Work Experice	Other
Correctional Institution Administrator		e			
Community Correctional Administrator					
Houseparent, Living Unit Staff, etc.					
Counselor, Social Worker, Case Manager					· · · · · · · · · · · · · · · · · · ·
After Care Worker, Court Serv.Worker, Juv. Prob./Parole Officer					

C-4. For each pertinent occupation, how have entry level requirements changed over the last five years and how are they likely to change during the next five years?

	Changes in requirements during last five years	Likely changes in require- ments in next five years
Correctional Institution Administrator		
Community Correctional Administrator		
Houseparent, Living Unit Staff, etc.		
Counselor, Social Worker, Case Manager		
After Care Worker, Court Serv.Worker, Juv. Prob./Parole Officer		

C-5.	What have been entry require complexity retreatment"	ements over	r the par llege de	st five	years (e.	g., incre	eased jo	ob i
								
								
C-6.	What will be requirements			that wi	ll influ	ence chang	jes in e	entry
		sel. Heriotoria						

Section D: Recruitment and Selection

D-1. This chart deals with which correctional occupations are entry-level and have minimum educational requirements for employment. Please complete this chart for your Department/Agency/Facility. Check (/) N/A if an occupation is not pertinent for your organization.

	Correctional Institution Admin.	Community Correctional Admin.	Houseparent, Living Unit Staff, etc. N/A	Soc. Worker,	Aft. Care Worker Court Serv.Worke Juv. Probation/ Parole Officer N/A
Is position entry-level?	Yes No	☐ Yes ☐ No	☐Yes ☐ No	☐Yes ☐ No	☐Yes ☐ No
Where do personnel filling these positions come from? Check (/) all relevant categories.		☐ New Hires ☐ Transfers ☐ Promotions	☐ New Hires ☐ Transfers ☐ Promotions	□New Hires □Transfers □Promotions	☐ New Hires ☐ Transfers ☐ Promotions
Is there minimum education requirement?	☐ Yes ☐ No	☐ Yes ☐ No	☐ Yes ☐ No	☐Yes ☐ No	☐Yes ☑ No
If Yes, please list education requirement and major field, if any (for example, high school diploma or G.E.D., master's degreesocial work).					
Does selection involve a Civil Service type examination?	☐ Yes ☐ No	Yes No	☐ Yes ☐ No	☐Yes ☐ No	☐Yes ☐ No

D-2. What recruiting sources are used for securing candidates for vacancies in each of the pertinent occupations and which source is relied on most for each occupation? Check as many categories as necessary.

	(01) 8965	Controlities	Intra-Hollons	System Son System Son System S	Perso rectional	Polit Cont	Geni Appi	population.	Other	Source Used Most
Correctional Institution Administrator										
Community Correctional Administrator										
Houseparent, Living Unit Staff, etc.									·	
Counselor, Soc. Worker, Case Manager										
A.C. Worker, C.S. Worker, Juv. P/P Off.										

D-3. (Answer only if colleges/universities checked.) Which subject matter areas or college programs furnish most of the candidates for vacancies (e.g., social work, psychology, criminal justice, counseling, etc.)?

D-4. How have the recruiting sources changed over the last five years and how will they likely change during the next five?

D-5. What major problems are encountered when recruiting candidates for the pertinent key occupations on the chart?

Section E: Promotion/Career Ladders

E-1. If there is a formal career ladder for any pertinent occupation, briefly describe the expected career progress for each occupation.

	Form Ladd Yes	Description of typical career progression
Correctional Institution Administrators		
Community Correctional Administrators		
Houseparent, Living Unit Staff, etc.		
Counselor, Social Worker, Case Manager		
After Care Worker, Court Serv.Worker, Juv. Prob./Parole Officer		

E-2. What factors are used to determine eligibility for promotion within each pertinent occupation or to a new occupational position? Check as many as necessary for each occupation.

	Supervisor Evaluations	Seniority in Rank	Promotion Exams	Type of Experience	Level of Formal Education	Training	Other
Correc. Inst. Administrators							
Comm. Correc. Administrators							
Houseparent, Liv. Unit Staff, etc.							
Couns., Soc. Worker, Case Manager	1						
After Care, Court Serv., Juv. P/P Off.							

E-3. What are the minimum standards for promotion within each pertinent occupation? (Note: the listed occupational categories may have several levels, each with different promotional standards. If so, attach documents/descriptions if available rather than record everything here.)

		//	EVE !	ning i	1 1 2 3 3 3 3 3 3 3 3 3 3 3 3 3 3 3 3 3		of therief		
	Rige	1500		(4), 60	1/6, 23	7 43	10.54	Other	(specify)
Correc. Inst. Administrators									
Comm. Correc. Administrators									
Houseparent, Living Unit Staff, etc.									
Couns., Soc. Worker, Case Manager									
After Care, Court Serv.,Juv. P/P Off.									

E-4.	Who determines unions; local		cion (e.g., Civi	l Service;
E-5.			termined (e.g., local committee	
		 		

A

F-1. Considering only the positions listed below which are relevant to this Department, Agency, or Facility, please provide information on total separations and the number who resigned voluntarily, retired, or left for other reasons during the two time periods indicated.

Fiscal or Calendar Years Ending as of , 1974 (or most recent) , 1973 Scory Separations Separations of the second of t A STATE OF S POE'T WINDERS Port House State of the State o (Notes) Correctional Institution Administrators Community Correctional Administrators Houseparent, Living Unit Staff, etc. Counselor. Social Worker, Case Manager After Care Worker, Court Service Worker, Juv. Prob./Parole Officer

₽ _{F-2} .	What are the major underlying reasons for the turnover experienced in this Department/Agency/Facility?
-TAL -	
<u>-4-3.</u>	Will the turnover rate remain about the same, increase, or decrease over the next three years and why?
	☐ Same
	Increase
	☐ Decrease
A _{F-4} .	If there were a serious cutback in funds (e.g., New York City) which of the pertinent key occupations would be most affected? What would be the major impact on the headquarters/agency?
·	

Additional Information Needed

In order to help us complete the National Manpower Survey, it would be most helpful if we could get some additional information about this Department, Agency, or Facility. If possible and if available, would you please include the following information with the completed survey form.

- A copy of the Department-wide, Agency, or Facility organizational chart.
- A copy of the most recent Annual Report.
- A copy of the most recent staffing documents and, if available, one of about five years ago, which indicate the number of authorized positions in the Department/Agency/Facility for each job title and the number of actual positions filled.
- A copy of the results of any study that might have been done in the last five years on turnover for correctional officers, counselor/ caseworkers, parole officers, or probation officers.

Please return the completed survey form and the information listed above to:

American Institutes for Research National Manpower Survey 3301 New Mexico Avenue, N. W. Washington, D. C. 20016

EXECUTIVE INTERVIEW for State Headquarters Locations

- la. What are your department's most important manpower problems, i.e. what are the significant manpower needs in your department today?
- 1b. What about manpower needs in future years?
- 2a. What are the significant training and education needs in your department today?
- 2b. What about training and education nees in the future?
- 3. If you had 10% more funds, how would you use the money?
- 4. What are the obstacles to more adequate funding?
- 5. Why has your state been successful in establishing some programs rather than others?
- 6. What changes would you suggest in the LEAA policies on funding?

Para E of the Act (comm. based) Continuity Fragmented Program emphasis

- 7. How about LEAA policies on training and education? What should be given priority?
- 8. Do you have problems in retaining personnel, i.e., too much turnover? If so, why?
- 9. Are the career ladders satisfactory to meet the needs of all your personnel?
- 10. How will the work change five years from now? Do you expect any difficulty in getting the type of people you will need?
- 11. How about the amount of priority given to your department? Is it lower than you think it should be? What would have to change in order to get more priority?

- 12a. (For Adult Corrections Only)

 Do you have any plans to convert the jails in your state into correctional institutions rather than warehouses? (If Yes) What standards would be changed, if any?
- 12b. (For Juvenile Corrections Only)
 What impact do you think that the Juvenile Delinquency Act of 1974 will have upon your programs?
- 13. (For Corrections Only)

 How about the number of appeals to courts regarding correctional procedures?

 Is the trend up?
- 14. How about your relationships with law enforcement agencies? To what extent are their decisions influencing your decisions, and vice versa?
- 15. How about your relationship with the judicial system? To what extent are their decisions influencing your decisions, and vice versa?
- 16. Which organizations or groups outside of the criminal justice system have the most influence on your plans?
- 17. What, realistically speaking, could LEAA do (or not do) that would help you the most in solving the problems of your department?
- 18. Are the available management training programs adequate to meet your needs?
 What are their strengths and weaknesses? How could these weaknesses be
 overcome?
- 19. What programs in your state do you think should be adopted by similar departments in other states?
- 20. The information we are collecting here today about manpower and training and education will ultimately be transmitted to LEAA as well as to the Congress. Are there any other problems or policy issues that you think should be called to our attention?

EXECUTIVE INTERVIEW FOR AGENCY ADMINISTRATORS

Tit	le
Loc	ation
	e introduction, describing goals of study, reason for agency selection, purpose of this interview.
1.	In your judgment, do you now have any critical manpower shortages?
	() Yes () No (Go to Question 8)
2.	In what personnel categories do you have shortages? (Probe especially for the key occupational categories.)

3.	Which of the following conditions characterizes these shortages? (Check as many as apply)
	() Present staffing levels are below optimum levels*
	() Present staffing levels are below authorized levels
	() Present staffing levels are below the absolutely minimal levels necessary for adequate service to the public
	() All the above*
	*If checked, ask what the optimum level would be in his/her opinion.
4.	How long have these shortages existed?
	Since 19
5.	What are the causes of these shortages? (Probe re increasing work load,
	budget cutbacks, turnover, etc.)
6.	What effects within and outside your agency have these shortages had?
	(Probe re cutbacks in services, community dissatisfaction, staff morale,
	curtailment of training activities, etc.)

•

•

7.	Are there any current efforts to reduce these shortages?
	() No
	() Yes. What?
	en de la companya de la companya de la companya de la companya de la companya de la companya de la companya de La companya de la companya de la companya de la companya de la companya de la companya de la companya de la co
8.	Do you predict critical manpower shortages in your agency five years from now? (Check as many as apply.)
	() Yes*
	() Yes, present shortages will continue
	() Yes, present shortages will even worsen
	() Yes, new shortages will arise
	() No
	*Specify the occupations where shortages will arise.
9.	What is the basis for your prediction?

10.	In y than	our th	opinio ose ent	n, are p ering fi	ersor ve ye	nel h ears a	ired go?	at t	the e	ntry	level	better	qualified
	()		(Probe					. •				
	()	Poorer	(Probe	re re	easons	;)						
,				,								A- 1 1	
							•						
	•		. 4										
			•										
					•								
11.	Are	the	re any	critica	1 tra	ining	needs	in	your	age	ncy?		
	()	Yes (P	robe re	deta	ils)							
	. ()	No										

12. Do you think the work of this agency will change within the next five years?() Yes (Probe re changes in role, functions, etc.)() No

13. If you were to receive a 10% increase in your annual budget for the next fiscal or calendar year and could spend it however you chose, how would you spend it?

14.	The state and federal governments spend a great deal of money on training and education. Do you think the payoff could be increased by changing the way these dollars are spent and, if so, how?
	() Yes () No
	-GIVE AGENCY ACTIVITY PROFILE HERE-
15.	Of these activities (variables/innovations), which do you think will be the most important in the next 10 years? (Probe re reasons and forces/counterforces affecting activity.)
	(If time permits, use appropriate forces and counterforces questions from the planning interview.)
	en de la companya de la companya de la companya de la companya de la companya de la companya de la companya de La companya de la companya de la companya de la companya de la companya de la companya de la companya de la co

PLANS FOR INTERVIEW WITH CHIEF OF THE PLANNING STAFF AT STATE ADMINISTRATIVE OFFICE LOCATIONS

The following steps must be followed in sequence:

STEP 1 is to read or skim the SPA plan for the state. To some extent, you should familiarize yourself with other administrative locations besides the one you are going to visit so you can discuss the interface between departments.

STEP 2 is to contact the office and obtain descriptions of the history of the department, its present status and budget, and future plans. (The administrative office plans are usually different from the plans contained in the SPA plan. The typical SPA plan is a collection of grant requests for a one year period, whereas the typical departmental plan contains five year projections.)

STEP 3 is to read or skim the materials collected in Step 2.

STEP 4 (after your arrival on site and a briefing of the people involved) is to ask the planning director what additional things you should look at before you conduct the interview with the planning staff.

STEP 5 is to read or skim the additional materials suggested by your contacts. Take notes and complete as much of the questionnaires as you can without bothering people. (Verify information as necessary later during the interview.)

STEP 6 is to conduct the attached interview with the Chief of the Planning staff and/or his designated representatives.

PLEASE NOTE:

IF YOU CANNOT FOLLOW ALL OF THE STEPS DESCRIBED ABOVE IN THE SEQUENCE INDICATED, YOU ARE NOT ADEQUATELY PREPARED FOR YOUR INTERVIEW, AND THE INTERVIEW SHOULD BE POSTPONED.

INTERVIEW WITH PLANNING DIRECTOR

- Provide additional briefing for those present, if required.
- Ask any questions that may have occurred to you based upon the material you have just read. (Be certain that you understand the future plans for the state in this area.)
- Having followed up on your review of the written materials, ask the following questions in the sequence indicated. If a questions is considered to be adequately answered by your notes or by one of the written documents you have obtained, skip that questions and indicate where the relevant information can be found.
 - 1. How is the planning group organized and staffed?

Probes: To whom does it report?

How many personnel?

What kinds of experience do they have?

(Collect organization chart and job descriptions if they are available.)

2. How are long range plans made in the

department?

Probes: How are problems and objectives defined?

Who decides what <u>should</u> be done, i.e. who needs to know what for planning purposes, i.e. what kind of information do you collect?

What kinds of decisions needs to be made?

To what extent does your department engage in manpower planning?

Which organizations or groups outside the system have the most influence on your plans?

Which criminal justice organizations outside your department have the most influence on your plans?

How is progress towards objectives determined?

To what extent is planning area-specific?

urban vs. rural
SPA regions
departmental agencies

How are plans integrated with the plans of other departments?

What legislative changes or court decisions are exptected to influence your plans during the next few years?

3. What is the history of the department with respect to staffing ratios?

Probes: What is the staffing ratio now for key classes of personnel (.e.g., ratio of correctional officers to inmates, number of judges per trial, number of law enforcement officers per capita).

Have these staffing ratios changed at all during the past five years? If so, how?

Why did these changes take place?

Are these staffing ratios expected to change in the near future. If so, how? Why are these changes likely to take place?

4. How have federal and state standards and goals influenced your plans?

5. Have any other policy decisions by state and federal agencies had an important influence upon your plans?

NOTES TO INTERVIEWER

Conduct the activities checklist analysis at this point, using prescribed procedures and forms. After finishing, select three high priority activities from among those designated with an asterisk on the activities checklist: one in each of the following rating categories:

- 1-3 Activities that have already been adopted
- 4-5 Activities that the agency would like to adopt in the future
- 6-8 Activities that the agency is not likely to adopt Your selection should consider the need for information about each item. If we already have several forces and counterforces analyses for activity #7, but we do not have any forces and counterforces analyses for activity #9, you should select activity #9.

	Starred	activity	with	a	rating	value	of	1-3
· · · · · · · · · · · · · · · · · · ·	Starred	activity	with	ā	rating	value	of	4-5
	_Starred	activity	wi th	a	rating	value	of	6-8

If no starred activity exists in the rating category indicated, select one of the unstarred activities that seems of most interest to us. If there are no activities with that rating value, ask for an activity of the type wanted, i.e., "Is there some new activity or innovation that your agency would like to adopt in the future that is not listed here?" Record the names of the activities above. Having selected the three activities, go on to ask the remaining questions.

	from	n 1-3) ask the following questions.
	6a.	What circumstances or events made your agency decide to adopt(insert name of activity)?
	6b.	Were any obstacles encountered when the (insert name of activity) was established?
		(If Yes) How were these obstacles overcome?
·	6c.	Were there any other considerations which influenced the people who made the decisions?
	÷	Probe for: cost considerations staffing considerations laws and court decisions public opinion pressure from other agencies the press other advantages and disadvantages of the activity
	6d.	What, if anything, did the agency have to give up or change in order to establish this activity and make it work?
		Probe for personnel implications manpower implications T&E implications
7.		THE STARRED ACTIVITY THAT THE AGENCY WOULD LIKE TO ADOPT IN THE IRE (RATING VALUES 4-5), ASK THE FOLLOWING QUESTIONS:
	7a.	Why would you like to adopt this(activity)?
•	7b.	What are the obstacles that have prevented you from doing this before? (If obstacles are listed)
	7c.	How could these obstacles be overcome? What are the key variables that will determine whether this (activity) is adopted or not?
•		Probe for: cost considerations
		pressure from other agencies the press other advantages and disadvantages

7d. What, if anything, would the agency have to give up or change in order to establish this activity and make it work?

Probe for: personnel subsystem implications manpower implications
T&E implications

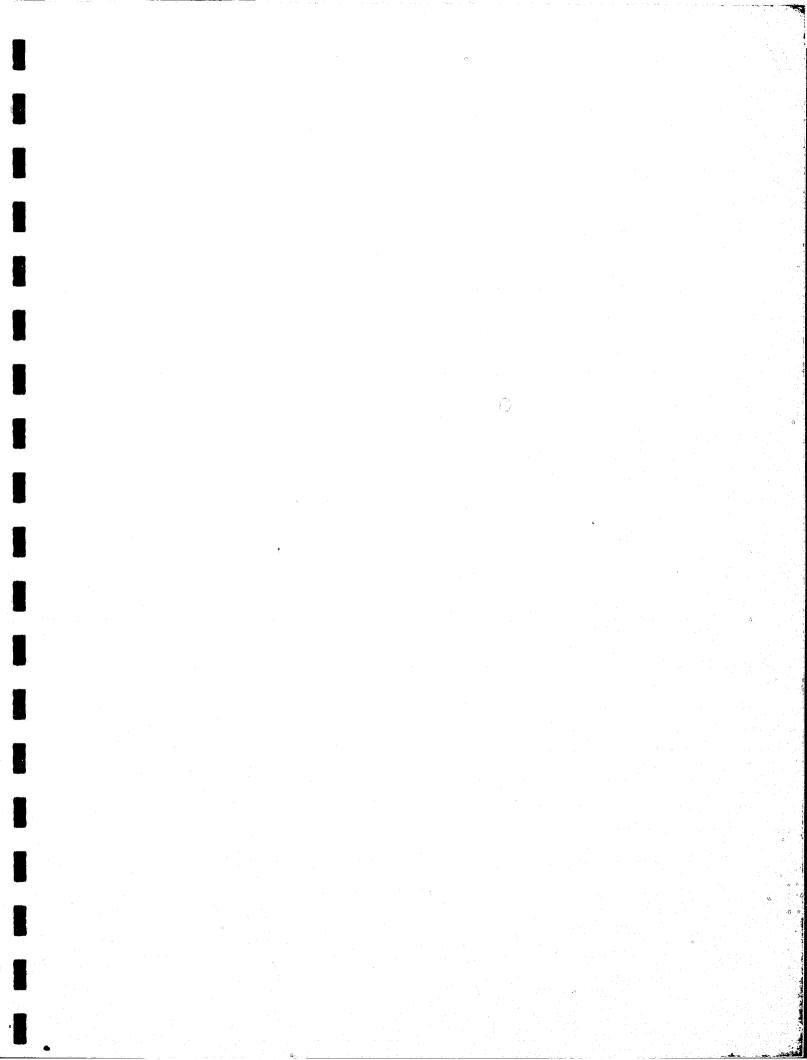
- 8. FOR ONE STARRED ACTIVITY THAT THE AGENCY WILL NOT ADOPT (RATING VALUES 6-8), ASK THE FOLLOWING QUESTIONS
 - 8a. Were there, or are there, pressures from any source for you to adopt this activity? (What)
 - 8b. Were there, or are there, pressures against adoption of this activity? (What)

Probe: cost considerations staffing considerations external influences laws and court decisions public opinion

pressure from other agencies

the press

other advantages and disadvantages



National Manpower Survey ACTIVITIES CHECKLIST

A number of trends, activities, or experimental programs have been tried in the law enforcement and criminal justice field in recent years. We would like your opinions on whether some of these things are being done or should be done at your agency. Use the scale shown below to answer the questions about the various activities described.

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Does	this Department have or use?	Probability Rating	F		Notes
*1.	Contract purchases for testing, counseling, urinalysis, etc.?		•		
			,		
2.	Presentence reports?				a
-					
3.	Consultations with judges about cases?				
4.	Appearing in court and performing court related activities?				
5.	Post sentence reports for review of sentence or recommendations for early parole?				
6.	Communicating or coordinating with other government departments?				
7.	Liaison and coordination with local public welfare agencies?				
				•	
-					

Activities List for Adult Parole Headquarters

Does this Department have or use?	Probability Rating	5-year Change Rating	Notes
8. Liaison with private agencies that provide services to parolees?			
		,	
9A. Intensive probation supervision?	,		
9B. Intensive parole supervision?			
9C. Family counseling as opposed to individual counseling?			
•			
10A. Mutual agreement programming (contracts) of requirements for release or parole?			
10B. Job Development and Job Placement Units?			
11. Case services money for probationers and parolees?			
12. Specialized counseling/therapy programs supervised by parole staff (i.e. family counseling, drug therapy, etc.)?			
	1		

Activities List for Adult Parole Headquarters

Does	this Department have or use:	Probability Rating	5-year Change Rating	Notes
13.	Legal defender services for parolees?			
14.	Family services for families of probationers, parolees, and people under court orders (non-support cases, desertion, paternity cases, etc)?			
15.	Independent analysis of violation of parole reports in order to ensure equity in parole officer recommendations before submission to Parole Board?			
16.	Regional location for service-delivery?			
17.	Training and supervising volunteers who are providing casework or resource services?			
18.	Paraprofessional or caseworker aides to assist professional staff in administrative functions?			
			•	
*19.	Community Resource Development Specialists or Unit?			

· Activities List for Adult Parole Headquarters

Does	this Department have or use:	Probability Rating	2 -	<u> </u>	lotes	
* 20.	Ex-offenders employed in Parole Officer positions?			**************************************		
						٠
21.	Expanded career ladders and job progression opportunities for counselors, court service workers, and paraprofessionals?					
						•
22.	In-service training programs and activities?				Marketine and the second of th	
			A			
23.	Preservice training programs or activities?					
24.	Outside consultants who conduct inservice training or development?			V. • Av	y	
25.	Evaluative or applied studies requiring the skills of a resercher?					
26.	Systematic long range plans based upon data collection and analysis?				en en en en en en en en en en en en en e	
بتنسنت		<u> </u>	<u> </u>	<u> </u>		/

Activiti	es Tist	for Adult	Parnia	Maada	Hartore
ACCITICI	C3 LI36	TOT MUUTE	PRIVIE	neguy	uar cers

Does this Department have or use:	Probability Rating	5-year Change Rating	Notes	
27. Public relations and public information programs?			•	
. 28. 28. Communicating or coordinating with members of the state legislature?				da win
	٥	: : :		

National Manpower Survey ACTIVITIES CHECKLIST

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Activities List for Adult Correctional Headquarters 5-year Probability Does this Department have or use: Change Notes Rating Rating 1. Bed space in maximum security institutions? 2. Bed space in medium security institutions? Bed space in minimum security institutions? 4. Bed space in small community-based correctional facilities for sentenced offenders? 5A. Special centers for prerelease counseling and assistance? *5B. Work release, education release, and counseling centers for offenders still serving a sentence? 5C. Halfway houses for parolees administered under contract to or through direct supervision by the Department? *6. Other community based programs?(specify) 7. Coeducational institutions?

^{*}Activities associated with correctional variables/innovations being studied in greater detail. Rev. 11/4/75

Does	this Department have or use:	Probability Rating	5-year Change Rating	Notes
8.	Reception and Diagnostic activities? (centralized or decentralized?)			
9.	Crisis intervention centers inside maximum security institutions (e.g. psychiatric counseling).			
10A.	Psychiatric services (other than diagnostic or crisis intervention)?			
10B.	Family counseling as opposed to counseling of individuals?			
11.	Treatment services other than psychiatric or diagnostic?	. 6		
12.	Vocational Education Programs administered by outside agencies under contract to the Department?			
13.	College courses for inmates inside institutions?			

Activities List for Adult Correctional Headquarters 5-year Change Probability Does this Department have or use: Notes Rating Rating 14. Basic literacy programs for people who can't read or write? 15. Pay for people who go to school at rates equivalent to institutional jobs? 16. Consideration of vocational applicability in the design of institutional work programs? *17. Work Release Programs? *18. Study release programs? 19. Weekend Furlough Programs? 20. Emergency furlough programs?

Does this Depart	ment have or use?	Probability Rating	5-year Change Rating	Notes
21A. Mutual agre	ement programming of institutional programs?			
21B. Mutual agre parole?	eement programming (contracts) or requirements for release on			
	recentive programs in institutions (other than Mutual Programming and other than credits for good behavior)?			
23. Specialized institution				Sa.
24. Offender jo	ob development and Job Placement Programs?			
25. Ombudsmen	in institutions?			
26. An independent for inmate	dent or quasi-independent Grievance Review Committee s:			
27. Legal serv	ices for civil cases of inmates?			

	ACTIVITIES LIST for Adi	it correction	ia i ileauqu	11 661 2
	this Department have or use:	Probability Rating	5-year Change Rating	Notes
28.	Volunteers under the supervision/coordination of Department or facility staff (i.e. a comprehensive volunteer program with training, some supervision, etc.)?		-	
29.	Correctional intern programs?			
30.	Programs for training correctional officers to be counselors?			
31.	In-service training programs or activities?			
	•			
32.	Preservice training programs or activities?			
33.	Use or outside consultants to provide in-service training services?			
34.	Research and Planning Unit?			
				

Does	this Department have or use:	Probability Rating	5-year Change Rating	Notes
35.	On-line computer system for retrieving up-to-date information about offender backgrounds?			
36.	Evaluative or applied studies requiring the skills of a researcher?			
37.	Systematic long range plans based upon data collection and analysis?			
38.	Public relations and public information programs?		6	
39.	Consultations with lawyers regarding legal precedents and lawsuits?			
	State subsidies of local government probation and community treatment programs? Jail Inspection Program?			

Does this Department have or use?	Probability Rating	5-year Change Rating	art enta	Notes
42. Communicating or coordinating with other government departments?				
43. Communicating or coordinating with members of the state legislature?				

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Does	this Department have or use:	Probability Rating	5-year Change Rating	Notes
1.	Bed space in residential secure settings?			
		<u> </u>		
*2.	Separation of detention facilities for juveniles and adults?			
*3.	Separation of status offenders from juvenile law offenders?		-	
			-	
•				
_				
*4.	Closing existing juvenile institutions and replacing them with group homes or non-residential alternatives?			
5.	Coeducational secure settings not in institutions?			
*6.	Group homes under contract or direct supervision of the department?			
*7.	Purchase of non-residential treatment services (other than psychiatric or diagnostic)?			



CONTINUED

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Does	this Department have or use:	Probability Rating	5-year Change Rating	Notes
8.	Youth service bureaus that arrange for (or provide) counseling and delinquency prevention services on request?			
9.	Crisis intervention programs other than Youth Service Bureaus or Intake Screening?			
10.	Community programs designed to help prevent delinquent activity (other than Youth Service Bureaus)?			
11.	Alternative Schools for adjudicated offenders and children diverted from the court?			
12.	Counselors who visit children during the day at their homes?			
13.	Regionalization of residential detention centers for youth?			
14.	Diversion prior to intake into the detention system?			

^{*}Activities associated with correctional variables/innovations being studied in greater detail.

Does this Department have or use:	Probability Rating	5-year Change Rating	Notes	-1
15. Pretrial diversion of juveniles during or after intake?				
16. Adjustment of minor complaints by arbitrators (community arbitrator programs)?				
17. Diagnostic activities (centralized or decentralized)?				•
•				
18A. Intake screening activities, centralized or decentralized (other than diagnostic)?				
For detention purposes?				
For court referral purposes?				
18B. Twenty-four hour intake services?				
19. Shelter care (temporary care in an unrestricted facility) for detention purposes preadjudication?				
	<u> </u>	-		
20. Foster care (post adjudication?				6
	 	1	I and the second	i i

Does this Department have or use:	Probability Rating	5-year Change Rating	Notes	
*21. Other community-based alternatives for status offenders? (specify)				#17
		r		
*22. Other community-based alternatives for delinquents? (specify)			-	-
23. Community release programs for education and treatment services?				
24. Community release programs for work placement purposes?		-		
		:		
25. Psychiatric Unit or Services (other than diagnostic)?				
•				
		:		
26A. Team concept of caseload supervision/treatment?				2
				ù
		:		
26B. Family counseling as opposed to the counseling of individuals?				, i
				S .

Does this Department have o	r use:	Probability Rating	5-year Change Rating	Notes	•
27. Positive Incentive Pro	grams in institutions?				
			-		
28 An independent or ques	i_independent Grievance Poview Committee				
for juvenile instituti	i-independent Grievance Review Committee ons?				
			:		
29. Ombudsmen in juvenile	institutions?				
	•				
	*				
 Volunteers under super staff (i.e. comprehens supervision, etc.) 	vision/coordination of Department or facility ive volunteer program with training, some				-
31. Preservice training pr	rograms or activities?			· · · · · · · · · · · · · · · · · · ·	· · · · · · · · · · · · · · · · · · ·
				·	
32	an activities 2				
32. In-service training pr	ograms or activities?				
					.8
33. Use of outside consult	tants to provide in-service training services?				
			V-		

Does	this Department have or use:	Probability Rating	5-year Change Rating	Notes
34.	Evaluative or applied studies requiring the skills of a researcher?			
35.	Systematic long range plans based upon data collection and analysis?			
_				
36.	Public relations and public information programs?			
37.	State monitoring of jail and detention facilities for juveniles?			
38.	Consultations with lawyers regarding legal precedents and lawsuits (own staff or outside)?			
39.	State subsidies to local communities for providing juvenile services of various kinds?			
	and a second grown of the specified and approximate a second second and a second seco	-1 ··· · · · · · · · · · · · · · · · · ·	'	

Pretrial	Number Children Now	Number Children in 5 Years	
Secure Detention (Secure Setting)			
Shelter Care (Secure Setting)	and anticontribute this half-front filler fill. (cf. 16), the special contribute court file for many one case con-		
Foster Care	and the first the second secon	entries de l'est de l'est de les de les des des propriétées de l'est réprése de les parties de les de l'est de	
Mentor Programs			
Own Home			
Mental health facility			
Post Adjudication	T		
Intensive Care (Secure Setting)			
Group Home			
Boarding School			
Foster Care			
Tracking (informal probation supervision)			
Other non Residential			
Not in program but on caseload (informal supervision)			
Mental health facility			
Alternative schools (non-residential)			

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Does thi	s Department have or use:	Probability Rating	5-year Change Rating	· ·	Notes	
*1. Con	tract purchases for testing, counseling, urinalysis, etc?					
2. Pre	disposition reports?				•	. 7
			-			
3. Con	sultations with judges about cases?					
4. App	earing in court and performing court related activities?					
5. Pos	t disposition reports for review of sentence or recommendations early release?					
6. Con	nmunicating or coordinating with other government departments?					
7. Li	aison activities with school staffs?					

^{*}Activities associated with correctional variables/innovations being studied in greater detail. 10/20/75

Does this Department have or use:	Probability Rating	5-year Change Rating	Notes
8. Liaison and coordination with local public welfare agencies?			
		 	
9. Liaison with private youth-serving agencies (e.g. YMCAs)?			
*10. Mutual agreement programming (contracts) of requirements for release or parole?			
10A. Intensive probation supervision?			
10B. Intensive aftercare supervision?			
10C. Family counseling as opposed to individual counseling?			
11. Job Development and Job Placement Units for juveniles?			
12. Job supervision of probationers or parolees working in work placement programs?			
13. Case services money for probationers or parolees?			
		<u>.</u>	
		ł	

Does	this Department have or use:	Probability Rating	5-year Change Rating	Notes
14.	Specialized counseling/therapy programs supervised by aftercare staff (i.e., family counseling, drug therapy, etc.)?			
15A.	Legal defender services for probationers or parolees?			
15B.	Family Services for families of parolees, and people under court orders?		-	/
16.	Regional locations for service-delivery?			
		1/		
17.	Training and supervising volunteers who are providing casework or resource services?	18		*
 *18.	Paraprofessional or caseworker aides to assist professional staff in administrative functions?			5
* 19.	Community Resource Development Specialists or Unit?			

	or outerine in		
this Department have or use:	Probability Rating	5-year Change Rating	Notes
Ex-offenders employed in Aftercare Officer positions?			
Expanded career ladders and job progression opportunities for youth counselors, workers, and paraprofessionals?		•	
Preservice training programs or activities?			
In-service training programs or activities?			
Outside consultants who conduct in-service training or development?			
	: :-		
Systematic long range plans based upon data collection and analysis?		ALCOHOL SHOPE	Andreas Control of the Control of th
	Ex-offenders employed in Aftercare Officer positions? Expanded career ladders and job progression opportunities for youth	Expanded career ladders and job progression opportunities for youth counselors, workers, and paraprofessionals? Preservice training programs or activities? In-service training programs or activities? Outside consultants who conduct in-service training or development? Evaluative or applied studies requiring the skills of a researcher?	Expanded career ladders and job progression opportunities for youth counselors, workers, and paraprofessionals? Preservice training programs or activities? In-service training programs or activities? Qutside consultants who conduct in-service training or development? Evaluative or applied studies requiring the skills of a researcher?

Does	this Department have or use:	Probability Rating	5-year Change Rating	Notes
27.	Public relations and public information programs?			
28.	Communicating or coordinating with members of the state legislature?			

National Manpower Survey Corrections Team

ADULT CORRECTIONS

Trend: Work and Study Release Programs

For Use In:

- Correctional Department Headquarters
- Correctional Institutions (min., med., or max. security)
- Community Correctional Facilities (pre-release center, work/study release center, etc.)
- Detention Facilities (Jails)
- <u>Objective</u>: To collect information on how the implementation of work/study release programs have changed the manpower/education/training needs of the department/agency.
- Definition: Work and study release programs include any program where pretrial detainees or sentenced offenders (not parolees) leave a correctional facility to work or attend school outside the facility for a significant amount of time on a regular basis.

nformation collected at:		
Name of department/facility	,	·
Address		
Street		
City	State	Zip Code
Person to be contacted		
Phone Area Code		
Area Code		

General Information Work and Study Release

A-1. Generally describe the work release program of this department/agency to include its purpose, who can qualify, etc.



- A-2. When did work release start and how has it grown in terms of: When Started This Year \underline{h} humber of inmate participants
 - number of employers
 - budget

Were new facilities created or built as the result of work A-3. release? Describe.

A-4. Describe the perceived degree of success for each program. What are the criteria used to determine success of the program?

A-5. What are the benefits of the program to the department or agency (cost, rehabilitation, public relations, etc.)?

A-6. What have been some of the problems encountered in the establishment of each program?

Study Release:

- Study Release
 - A-7. Generally describe the study release program of this department/ agency to include its purpose, who can qualify, how it is delivered, etc.
 - A-8. When did study release start and how has it grown in terms of:

Now

When Started

number of participants

- number of educational institutions
- budget



A-9. Describe the perceived degree of success for each program. What are the criteria used to determine success of the program?

-A-10: What are the benefits of the program to the department or agency (cost, rehabilitation, public relations, etc.)?



A-11. What have been some of the problems encountered in establishing work release.

B. Effects of Implementation on Manpower

Note:

To complete this section, you need to get as much information as possible on how these work/study release programs have affected manpower in the agency or department. Use charts provided where appropriate, but feel free to collect data in more convenient methods as appropriate. If data are collected for total department (many programs in various facilities), indicate that data are aggregate.

NOTE: At the agency level if the program was notablished specifically as a work/study reliance Comb not add to existing connectional procedure) and we B-I and

B-1. Find out the number of personnel assigned to each work/study release program by position for each year since the program began. Use charts below to record data for each program, if appropriate. Use back of page if more space needed.

Program					
		Numb	ers Requi	<u>red</u>	(furna)
Position Titles	1st yr. 19	2nd yr. 19	3rd yr. 19	4th yr. 19	5th yr.
1.					
2.					
3.					
4.					
Program					
		<u>Numl</u>	pers Requ	ired	
Position Titles	lst yr.	2nd yr. 19		4th yr.	5th yr. 19
1.4. 2.1.4					
2.					
3.	,				
		1			

Program				-	
•		Numb	ers Requi	red .	•
Position Titles	lst yr. 19	2nd yr. 19	3rd yr. 19	4th yr. 19	5th yr. 19
1					
2					
3					
4.					

Program			•		
		Numb	ers Requi	red .	
Position Titles	lst yr. 19	2nd yr. 19	3rd yr. 19	4th yr.	5th yr. 19
•		T		T	
		-			
	<u> </u>				
	L	1		1	1
Program					
T Ugr dill					
		Numb	ers Requi	<u>red</u>	
Position Titles	1st yr. 19	2nd yr. 19	3rd yr. 19	4th yr. 19	5th yr. 19
表表 <u> </u>		·			
3.					

•

•

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•	₩	- 1
1	••	-
	_	

Were new positions titles created to staff work/study release B-2. programs.

New Position Title	Manufer History	Starting Salary	Primary Tasks/Responsibilities
1			
2			
3			
4			



B-3. Find out the number of personnel who remained in current positions (same title, same location) but were assigned new tasks/responsi-

bilities as the result of work/study release. 123

bilities as the	resul	t of work/study release.
		General Description of New Tasks/Responsibilities Program
Position Title#	10.43	General Description of New Program Program
<u>1</u> .		
2.		
3.		
4.		
5.		
6.		
7.		



B-4. Were staff with loads readjusted as a result of implementation of work/study release programs? How (i.e., caseworkers on classification committee were required to increase case evaluations by 15%)? Use chart if appropriate.

Position Titles	General Description of How Workload Increased or Decreased
1.	
2.	
3.	
4.	
5.	
6.	
7.	



B-5. Did reassignment of existing staff to work/study release programs create critical manpower problems in other parts of the agency/department (i.e., correctional officer reassignments resulted in no personnel on day shift for perimeter towers-net two empty posts).

Position Title	General Description of How Reassignment Created Manpower Problems by Position
1.	
2.	
3.	
4.	

E	*

B-6. For each work/study release program implemented in the department/agency, find out what adjustments in manpower were required. Use back of pages if necessary.

Program		How har	HOW DITTE	ained?	red? ting	directed in the state of the st	Paratrited?
1. Correct	ional Officer						
2. Casewor	ker						
3. Correct	ional Admin.						
4.	(2)						
5.							

Program	HOW REAL	existing	ained?	1. ed. 1. 1. 1. 1. 1. 1. 1. 1. 1. 1. 1. 1. 1.	staffaced? drepender et nited? How inany	S Josephines of the state of th
	How high	HOW MAN	A TREASE	Hon usus	Hoy jora	3 mile
1. Correctional Officer						
2. Caseworker						
3. Correctional Admin.						
4.						
5.						

						10 8
	٠			13	<i>'</i> /	(tanace)
	•	•••	ing	ained of	(ed? 110	gret orde
Program			existing were nan Howonn	dired?	1 5 5 C	statiaced directions et nired? Howing
_		nan	y were an	y mere	17. 31.3. N	ex virony
	•	HON BEE	HOH THE	104 160 S	THE HELL	LION OUS
		1 50	1 50	Ho No.	40,	5
1. Correctional Offic	cer					
2. Caseworker						
3. Correctional Admir	n.					
1.						0
	 i		 			
) •	···········	1		L	L	
				,		Se ced?
,				ned?		ster le
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'rogram		/N	64. 46/	USELS !!	(et (sei)	5+7.467.7
•	-	How harry	ME, May	W. Figh	right wany	e in mail
•		Ho sta	HOY GOTHE	Howers Howers	ton hange	stataled dreded? ethited? ethited?
. Correctional Offic	er					
. Caseworker					•	
. Correctional Admin	i _				•	
OUT COLIONAL FAMILIE					 	
• · · · · · · · · · · · · · · · · · · ·	-	 				
]		·	
•	•				* 1	/cq .ed
			/	egs/	/	5.03.30
•			eting	aill bei	(69, 1, 10g	glickeuge
Program			(et, 60)	VEH L	et sei	(1,0,00)
	-	I Man	WEI Mari	WE KIRT	Kugu Land	e h han
		How hard	Were hand	ained?	HOH III HE	Size aced
. Correctional Offic					How have	
. Caseworker						
		 				
3. Correctional Admin) <u>. </u>					
<u> </u>						





B-7. Are volunteers used in work/study release programs?

- how many?
- how used?

Are ex-offenders used?

- how many?
- how used?

Are paraprofessionals used?

- how many?
- how used?

	<u>U.</u>	Irain.	ing and Educational Effects
****	•	C-1.	As a result of the implementation of work/study release programs in this department/facility have you established any new training programs for staff or volunteers?
			Yesto to C-3
			Noanswer C-2 and conclude interview.
3		C-2.	Do you have any plans to establish <u>new</u> training programs for staff or volunteers. If yes, describe. If no, why not?

(F)

C-3. Describe each new training program for staff by position.

	Position Title	General	Descr	iption	/Objec	tives	Length	of ninder	6 1.10 1.15 5 1.10 1.15 5 1.05 3.10	lable
1.								, w		
2.								,		*
3.										
4.										

NOTE: ASK FOR CURRICULUM GUIDES FOR NEW TRAINING PROGRAMS, IF AVAILABLE.

C-4. As a result of work/study release personnel needs, have you changed—the educational standards required for any new or existing position used in these programs? If yes, describe.

Position	Change in Educational Standards
1.	
2.	
3.	
4.	

If no, do you have any plans for changing standards? How? For what reasons?

C-5. What curriculum priorities would you establish if you could expand your training efforts for staff in study/work release program (i.e., what skills would you particularly emphasize for training each position if you could expand your training efforts)?

Position	Curriculum Priorities							
1.		garanteering.						
2.								
3.								
4.								

National Manpower Survey Corrections Team

ADULT CORRECTIONS

Trend: Small and Community-Based Correctional Facilities

For Use In:

- Correctional Department Headquarters (Sections A, B, and C)
- Correctional Facilities (Section D)

Objective: To collect information on how the use of small correctional facilities and community-based correctional facilities has effected the manpower/education/training needs of the department/agency.

Definitions:

See next sheet.

Name of	department/facility		
Address	department/ractifity		
.,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,	Street		
	City	State	Zip Code
Person	to be contacted		
Phone			

Definitions

The National Advisory Commission on Criminal Justice Standards and Goals recommended (Standard 11.1) that if new correctional facilities must be built, they should "... be small enough to allow security without excessive regimentation, surveillance equipment, or repressive hardware." Such institutions should be located close to communities to which inmates return, be accessible to public transportation, provide for inmate privacy, and be designed to meet correctional needs in the areas of visiting, counseling, education, medical facilities, and recreation."

Consistent with this standard, we are looking for manpower data from such a facility, whether newly constructed or simply modified to meet a community orientation. The term "small correctional facility" will be used in this questionnaire to meet this definition. Such a facility should:

- be administered by the Department of Correction (may be any security rating)
- accommodate not more than 500 inmates
- be "treatment" or community-oriented (as opposed to major emphasis on custody/security)

In addition, we need to collect data on the use of manpower in community-correctional facilities. For the purposes of this study, we shall define community based facilities as:

- funded, operated, and administered by the Department of Correction (designated minimum security) and primarily staffed by state employees
- accommodate not more than 100 inmates
- be community oriented, i.e., heavy reliance on community release programs of all types

Note: Be certain that interviewees understand the distinction between "small facility" and "community facility." A community facility will meet the definition of a small facility, but the reverse will not necessarily hold.

Where there are both types of facilities in a department, be sure that you maintain the distinction in data collection efforts.

If there are major changes in the above definition as applied to a particular department, note below:

Classify the community-based facilities by type of resident populations served (type of offense, emotional or behavioral problems, sex, etc.).

Category of Facility

No.

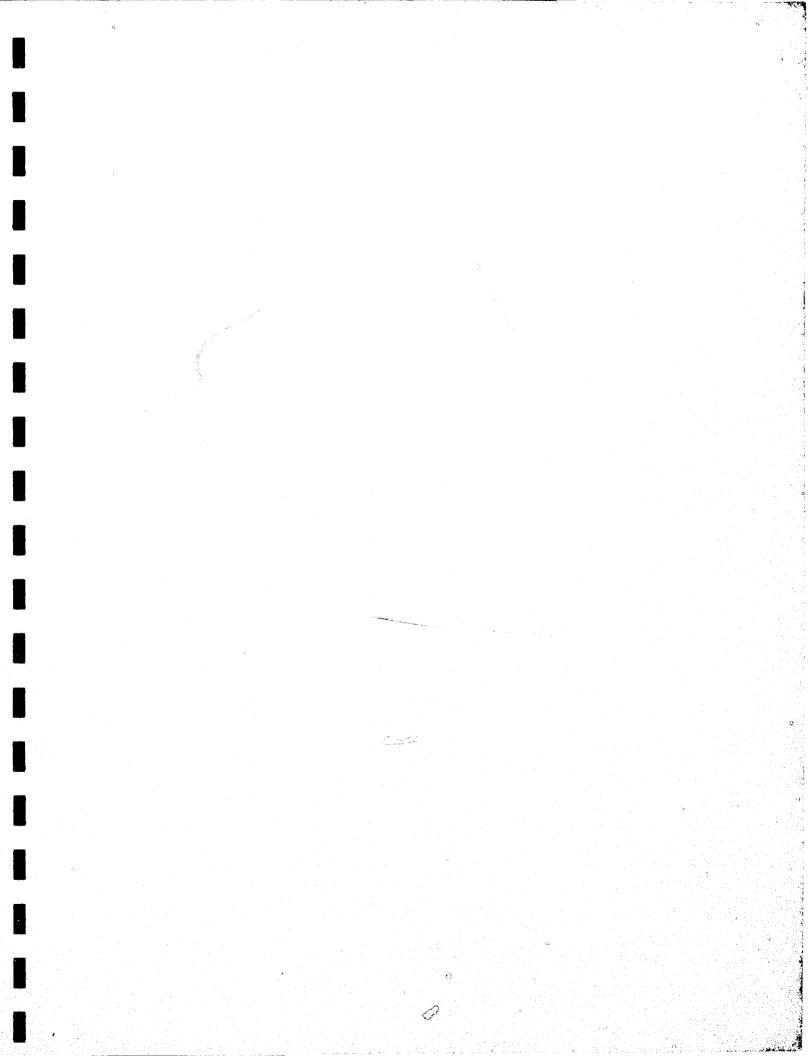
Characteristics of Resident Population

Composition of Typical Staff

Communit	y Correction	al Administr	ator		
Correcti	onal Officer		and the second s	-	
Counselo	r/Caseworker				
Probatio	n Officer			•	·
Parole 0	fficer				
Total number			s, and rel	eases from c	community-bas
facilities fo		1973		•	1974
facilities fo	Admissions	1973 Retentions	Polosco	Admissions	1974 Retentions

:

•





ategory

acility

Section, A - General Information (for use at Department level only)

A-1. Complete the following chart indicating descriptions of current community-based facilities adminserv.for treat. istered by the department. community Use of community release program use of college programs* profes-staff Use of GED programs* Security Rating Year Con No. of Inmates No. of todial No. of sional Other Description of Facility Concord Reformatory (example)
Pre-release Ctr. 1840 Max. 1200 350 70 no yes yes nol no (example 1972 Min. 50 10 yes yes no no no

*Refers to use of the program at the facility itself. If the facility provides the program but on a community release basis only (i.e., outside the facility, circle the response).

(continued)

ategory of acility	A-1. (c	ontinued	1)	Year Con- structed	Security Rating	No. of Inmates	No. of cus- todial staff	No. of profes- sional staff	Use of community release program	Use of purch. of serv.for treat.	Use of voc. training*	Use of GED programs*	Use of college programs*	Other	Description of Facility
											-				
										,					
								,							
							·								
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														•	
										•				4	SAME TO SAME TO SAME TO SAME TO SAME TO SAME TO SAME TO SAME TO SAME TO SAME TO SAME TO SAME TO SAME TO SAME T
				•										•	

^{*}Refers to use of the program at the facility itself. If the facility provides the program but on a community release basis only (i.e., outside the facility, circle the response).

	A-2. Are there a to provide	ny cur additi	rent p onal b	lans for the co	onstruct esidents	ion, r	enovat	ion, or new use of an <u>existing</u> building
	yes		no (s	kip to A-4)				
	If yes, go	on to	A-3.	•				
	A-3. Use the fol	lowing	chart	to indicate c	urrent p	lannir	ng impl	ementation status.
					,	15 6 S	/20'sk	
		Anticips Bed Cips		Blueprints'	25 C C C C C C C C C C C C C C C C C C C		4 15/20 25/20 P	
	Facility Name (or project #)	Ser.	13.00		450	St. Ko.	400	Descriptive Information
1.	Tidewater Cor- rectional Inst. (example)	200		Blueprints' ready; funds not yet allocated.	110	35	Sept.	Will be used as facility for offenders with 3 yrs. or less until parole. Some release programs available.
2.	(CAMID) (C)			41.004.004				
3.								
4.					au.			
5.								
6								

A-4.	Do you have any plans	to	discontinue the	use o	fany	correctional	facility	listed	in A-1?
	yes yes		no(skip to A-6)						
	(If yes, complete A-5	5)							

A-5. Use the following chart to collect data on planned closing of facilities.

	Closicipate			
Facility Name	12/2/2	Reasons for Closing	Plans for Existing Staff	Any Retraining Necessary? Describe
Pocono Correctional Inst. 1. (example)	Jan. 1976	Bad condition; too costly to renovate.	Transfer to other institutions.	Some retraining for those in community facilities. Description attached.
2.				
3.				
4.				
5.				
6.				



A-6. Do you have inmate population growth projection for the immediate future (next 5-10 years)? If so, please include or ask for copy of report.



A-7. How does the department plan to handle increased population if it seems that it will continue to increase (i.e., build new facilities, increase parole usage, double bunk, etc.)?



A-8. How does department plan to handle decreased population if it seems that it will continue to decrease (i.e., close facilities, lay off staff, etc.)?

Section B - Effects of Smaller Facilities/Community Facilities on Departmental Manpower

Note: This section focuses on shifts in manpower and educational training needs over the last five years as a result of the opening of small or community based facilities. If the department has not opened any facilities which fit our definitions, this section and Sections C and D do not need to be completed.



B-1. What is the combined total of the following personnel categories who were shifted (i.e., transferred) from within the department over the last five years to staff new community-based facilities.

		S. S. S. S. S. S. S. S. S. S. S. S. S. S	S. S. S. S. S. S. S. S. S. S. S. S. S. S	, sining					
•	, to 1, 1, 1, 1, 1, 1, 1, 1, 1, 1, 1, 1, 1,		\$\\\\\\\\\\\\\\\\\\\\\\\\\\\\\\\\\\\\\	Sin 20 40 17.	Comments				
Tidewater Pre- Release Center Opened Sept., 1973 (example)	10	2	0	N/A	Recruited administrator from neighboring state.				
	()								

^{*}Use if applicable.



B-2. Describe in the chart below how manpower adjustments were made for the new community-based facilities.

		So individual so in the state of the state o	So hrs -security &	1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1	General Comments			
Facility/WR Center (example)	yes	Correctional Officer Caseworker	20 hrssecurity & release prog.supv. 5 hrs use of new forms	yes	Correc- tional Adminis- trator (1)	General Comments Training provided by our training academy.		
		•						

B-3. Were statewide standards for training and/or education of personnel in key positions changed as a result of the change to use of smaller facilities/community based facilities? If yes, how? Describe.

Section C - Organizational Effects

Note:

These questions should be answered by the Executive of the Department or the administrator in charge of community facilities.



- C-1. Has the shift toward community-based and/or smaller facilities had any effect on unions (or employee organizations) and resulting negotiations? If yes, probe for:
 - how effected
 - union's role in transfer of personnel, new job description, etc.
 - impact of union demands/requests on implementation
 - other problems



- C-2. What effect have the operation of community-based facilities/ small facilities had on the remaining large facilities?
 - Probe for: inmate population characteristics
 - staff morale
 - institution programs
 - policy changes
 - job changes in institution



C-3. What is the desired mix of large and small (high security and community-oriented) for the department?



- C-4. What effects have small facilities/community-based facilities had on operational costs of the department?
 - Probe for: costs of remaining large facilities (and cost per inmate)
 - costs of each small facility (and cost per inmate)
 - revenue collected from release programs
 - purchase of service savings

Section D - Comparison of Manpower Effects in Traditional, Small, and Community-Based Institutions

(Agencies and Facilities Only)

- D-1.(a)On the chart below, find out and indicate how important each of the listed duties are to a correctional officer in the designated facility. Use H=of high importance--essential to the job;
 M=of moderate importance--performs occasionally or as requested;
 L=of low or minimal importance--seldom or never done.
 - (b) Have respondents add other duties/tasks that correctional officers may do and ask for ratings for each.

	Small Facility	Commun Based		Correctional Officer Duties
			1.	Perimeter Security
			2.	Internal Security-Patrol and Search
			3.	Transportation of Inmates
-			4.	Supervision of Work Squads
			5.	Participation in Classification/Discipline Bds.
			6:	Staff Meetings
			7.	Release Program Supervision
1			8.	Recreation Supervision
			9.	Inmate Movement Control
			10.	Supervision of Facility Functions (visiting, inmate meetings, etc.)
			11.	Individual Counseling of Inmates
•			12.	Group Counseling of Inmates
			13.	Staff Training
			14.	
			15.	
			16.	
		• • • • • • • • • • • • • • • • • • • •	17.	
			18.	
			19.	
			20.	

- D-2.(a)On the chart below, find out and indicate how important each of the listed duties are to a caseworker/counselor in the designated facility. Use H=of high importance--essential to the job; M=of moderate importance--performs occasionally or as requested; L=of low or minimal importance--seldom or never done.
 - (b) Have respondents add other duties/tasks that caseworker/counselors may do and ask for ratings for each.

Small Facility	Commun Based	Caseworker/Counselor Duties
		 Interview inmates for collection of information
		2. Write classification reports
	•	 Participate in Classification/Discipline Bds.
		4. Plan inmate programs
		 Meet with resource persons for develop- ment of placement (job, school, etc.) opportunities
		6. Individual counseling with inmates
		7. Conduct group counseling
		 Conduct or participate (in) training sessions (staff)
		-9. Supervise Inmate activities
		10. Make routine classification changes
		11.
		12.
		13.
		14.
		15.
		16.
		17.
		18.
		19.
		20.

D-3. Describe tiate in	e the tasks or specific job responsibilities that on the selected facilities (D-1). How are they dif	differer ferent?
(a) Cor	rectional Officer	
	Description of Tasks/Responsibil	ities
lausa Imatătution	•	
Large Institution		
		
Small Institution		
Community-Based		
(b) Cas	seworker/Counselor	The second control of the second of the seco
	Description of Tasks/Responsibil	<u>ities</u>
arge Institution		••
Small Institution		
Community-Based		

D-4.	Describe key posit	how education ions in select	and training st ted facilities.	tandards are (Mark none	different if no diff	for erence.
	(a) Corr	ectional Offic	cer			
			Education Standards		Training Standards	l.
Large Inst	titution					
Small Inst	citution					
Community-	-Based					
	(b) Case	eworker/Counse	lor		•	
	•		Education Standards		Training Standards	
Large Inst	itution					· · · · · · · · · · · · · · · · · · ·
Small Inst	itution -					
Community-	Based					

Describe any problems the department or facility may have in transferring personnel from larger to smaller facilities and D-5. vice-versa.

Probe for:

- Civil Service impacts Union impacts Problems for specified positions
- Training

National Manpower Survey Corrections Team

JUVENILE CORRECTIONS

Trend: Community-Based Correctional Facilities

For Use In:

- Correctional Department Headquarters (Sections A, B, and C)
- Correctional Facilities (Section D)

<u>Objective</u>: To collect information on how the use of small juvenile correctional facilities and community-based correctional facilities has effected the manpower/education/training

needs of the department/agency.

Definitions:

See next sheet.

formation collected at: ,		~
Name of department/facility		
Address	•	
Street		
City	State	Zip Code
Person to be contacted		
Phone		
Area Code	11	

Definitions

The National Advisory Commission on Criminal Justice Standards and Goals recommended (Standard 11.1) that if new correctional facilities must be built, they should "... be small enough to allow security without excessive regimentation, surveillance equipment, or repressive hardware." Such institutions should be located close to communities to which inmates return, be accessible to public transportation, provide for inmate privacy, and be designed to meet correctional needs in the areas of visiting, counseling, education, medical facilities, and recreation."

Consistent with this standard, we are looking for manpower data from such a facility, whether newly constructed or simply modified to meet a community orientation. The term "small correctional facility" will be used in this questionnaire to meet this definition. Such a facility should:

- be administered by the Department of Correction (may be any security rating)
- accommodate not more than 500 inmates
- be "treatment" or community-oriented (as opposed to major emphasis on custody/security)

In addition, we need to collect data on the use of manpower in community-correctional facilities. For the purposes of this study, we shall define community based facilities as:

- funded, operated, and administered by the State Department concerned with juvenile corrections (designated minimum security) and primarily staffed by state employees
- accommodate up to 100 residents (excluding shelter care and foster homes
- be community oriented, i.e., heavy reliance on community release programs of all types and community resources
- provide residential services (i.e., stay at night) for juvenile residents

Note:

Be certain that interviewees understand the distinction between "small facility" and "community facility." A community facility will meet the definition of a small facility, but the reverse will not necessarily hold.

Where there are both types of facilities in a department, be sure that you maintain the distinction in data collection efforts.

If there are major changes in the above definition as applied to a particular department, note below:

Classify the community-based facilities by type of resident populations served (age, type of offenses, sex, delinquents vs. emotional problems, status offenders, etc.)

Category of Facility

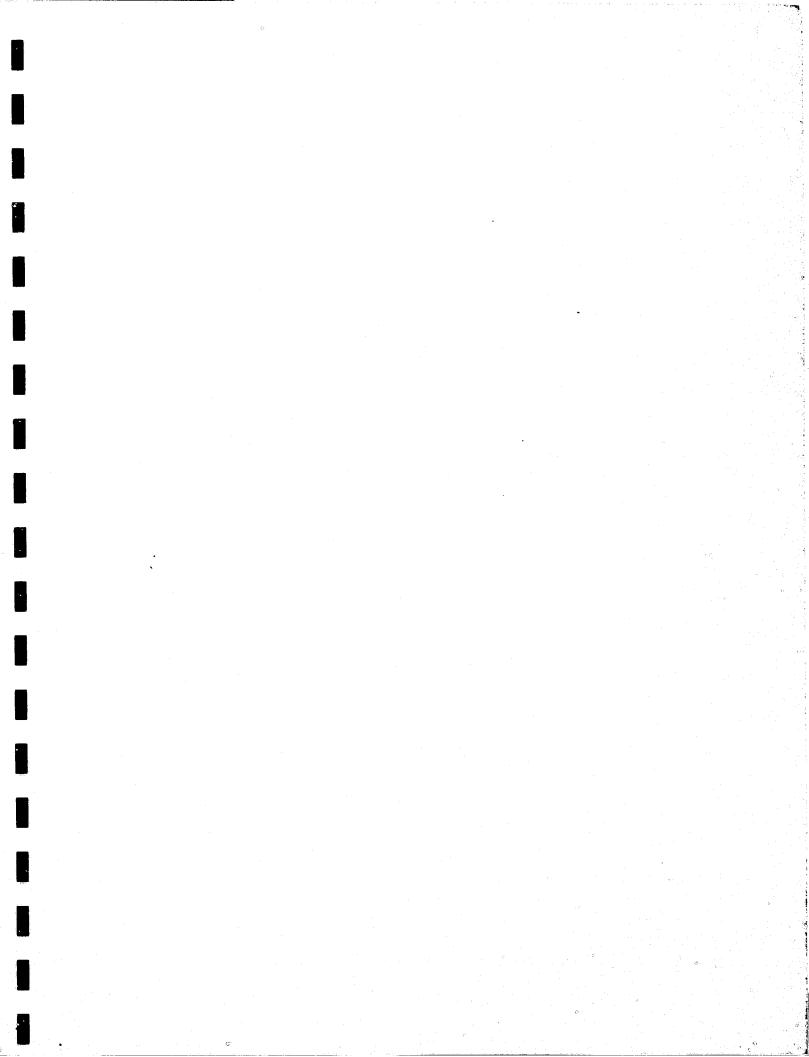
No.

Characteristics of Resident Population

Composition of Typical Staff

Communi	ty Correctio	nal Administ	rators (Ce	nter Directo etc.	r, }	
Housepa	rents (Youth	Supervisors	, Living U		_	-
li .		Worker, Case aftercare wo		•		
Total n	umber assign	ed to commun	ity-based	facilities:		
	Status Of	fenders				
	Delinquen	ts			•	
		issions, ret ars indicate		nd releases	from communi	ty-
				nd releases	from communi	ty-
based facil		ars indicate		nd releases Admissions		ty-
	ities for ye	ars indicate	d.		1974	

•





Section A - General Information (for use at Department level only)

Complete the following chart indicating descriptions of current community-based facilities admin

Category Facility

A-1. Complete the f		Rating Security Security No. of Residents	No. of cus- todial staff	No. of profes-	Use of community a	Use of purch. of serv.for treat.	Use of voc.		ege	community-based facilities admir istered by the department.
A	Year struc	R R R	5 S	Sign	Use	Use	Uso	Us	Us	Other Description of Facility
Concord Reforma- tory (example)	1840 M	lax. 1200	350	70	no	no	yes	yes	no	
Pre-release Ctr. (example	1972 M	1in. 50	10	6	yes	yes	no	no	no	
							:			
			 							
 										
										0.
en en en de la desta de la completa de la completa de la completa de la completa de la completa de la completa La completa de la completa de la completa de la completa de la completa de la completa de la completa de la com										
				•				•		
	1					•				

^{*}Refers to use of the program at the facility itself. If the facility provides the program but on a community release basis only (i.e., outside the facility, circle the response).

(continued)

*	A-1. (continued)	! [1	ť		: !	<u>ک</u> د	tof			1	
Category of Facility		Year Con- structed	Securicy Rating	Residents	No. of cus- todial staff	No. of profes- sional staff	Use of community release program	Use of purch. o serv.for treat.	Use of voc. training*	Use of GED programs*	Use of college programs*	Other Description of Facility
•												
												
within					·							
·									•	•		
•												
· · · · · · · · · · · · · · · · · · ·									3			
•												
. •												
· ·												
•												
						73						

^{*}Refers to use of the program at the facility itself. If the facility provides the program but on a community release basis only (i.e., outside the facility, circle the response).

	A-2.	Are there as	ny cur additi	rent p onal b	lans for the coed space for re	onstruct esidents	ion, r	enovat	ion, or new use of an <u>existing</u> building
		yes		no (s	kip to A-4)	*			
		If yes, go	on to	A-3.					
	A-3.	Use the fol	lowing	chart	to indicate c	urrent p	lannir	g impl	ementation status.
			Anticips Sed Cips		Blueprints	12 12 12 12 12 12 12 12 12 12 12 12 12 1		47 1/2010 2/20 PV	
		ty Name oject #)	Ant.		\$ 35 5 5 5 5 5 5 5 5 5 5 5 5 5 5 5 5 5 5	N. S. S. S. S. S. S. S. S. S. S. S. S. S.	4,48		Descriptive Information
1.	Tidewa	ter Cor- nal Inst.	200		Blueprints ready; funds not yet allocated.	110		Sept. 1977	Will be used as facility for offenders with 3 yrs. or less until parole. Some release programs available.
2.									
								-	
3,									
	•								
4.									
5.						•			
6.									

A-4.	Do you have any pla	ans to	discontinue	the use	of any	correctional	facility	listed	in A-1?
	yes yes		no(skip to A-	-6)					•
	(If yes, complete A	4-5)				•	•		

A-5. Use the following chart to collect data on planned closing of facilities.

	27 5 17 18 18 18 18 18 18 18 18 18 18 18 18 18	00		•
Facility Name	\$ 50	Reasons for Closing	Plans for Existing Staff	Any Retraining Necessary? Describe
Pocono Correctional Inst. 1. (example)	Jan. 1976	Bad condition; too costly to renovate.	Transfer to other institutions.	Some retraining for those in community facilities. Description attached.
2.				
3.				
4.				
5.			•	
6.				



A-6. Do you have resident population growth projection for the immediate future (next 5-10 years)? If so, please describe.



A-7. How does the department plan to handle increased population if it seems that it will continue to increase (i.e., build new facilities, increase parole usage, double bunk, etc.)?



A-8. How does department plan to handle decreased population if it seems that it will continue to decrease (i.e., close facilities, lay off staff, etc.)?

Section B - Effects of Smaller Facilities/Community Facilities on Departmental Manpower

Note: This section focuses on shifts in manpower and educational training needs over the last five years as a result of the opening of small or community based facilities. If the department has not opened any facilities which fit our definitions, this section and Sections C and D do not need to be completed.



B-1. What is the combined total of the following personnel categories who were shifted (i.e., transferred) from within the department over the last five years to staff the community-based facilities.

		di di	Cours	in s.	
·		10 10 10 10 10 10 10 10 10 10 10 10 10 1			Comments
Tidewater Pre- Release Center Opened Sept., 1973 (example)	10	2		N/A	Recruited administrator from neighboring state.
		•			
					•
		المسا	٠		

^{*}Use if applicable.



B-2. Describe in the chart below how manpower adjustments were made for the new community-based facilities.

	\$ 50 J. J. J. J. J. J. J. J. J. J. J. J. J.	Solution of the solution of th	20 hrs assentity &	17. 10. 10. 10. 10. 10. 10. 10. 10. 10. 10	Correct-	General Comments
Facility/WR Center (example)	yes	Correctional Officer Caseworker	20 hrssecurity & release prog.supv. 5 hrs use of new forms	yes	Correc- tional Adminis- trator (1)	Training provided by
•					:	
		•			•	
	•	•	•			
•					·	

B-3. Were statewide standards for training and/or education of personnel in key positions changed as a result of the change to community based facilities? If yes, how? Describe.

Section C - Organizational Effects

Note:

These questions should be answered by the Executive of the Department or the administrator in charge of community facilities.



- C-1. Has the shift toward community-based and/or smaller facilities had any effect on unions (or employee organizations) and resulting negotiations? If yes, probe for:
 - how effected
 - union's role in transfer of personnel, new job description, etc.
 - impact of union demands/requests on implementation
 - other problems



- C-2. What effect have the operation of community-based facilities/ small facilities had on the remaining large facilities?
 - Probe for: inmate population characteristics
 - staff morale
 - institution programs
 - policy changes
 - job changes in institution



C-3. What is the desired mix of large and small (high security and community-oriented) for the department?



- C-4. What effects have small facilities/community-based facilities had on operational costs of the department?
 - Probe for: costs of remaining large facilities (and cost per inmate)
 - costs of each small facility (and cost per inmate)
 - revenue collected from release programs
 - purchase of service savings

Section D - Comparison of Manpower Effects in Traditional, Small, and Community-Based Institutions

(Agencies and Facilities Only)

- D-1.(a) On the chart below, find out and indicate how important each of the listed duties are to houseparent (or youth supervisor, living unit staff in the designated facility. Use H=of high importance-essential to the job; M=of moderate importance-performs occasionally or as requested; L=of low or minimal importance-seldome or never done.
 - (b) Have respondents add other duties/tasks that houseparents (or youth supervisors, living unit staff, etc.) may do and ask for ratings for each.

Small Facility	Commun Based		Houseparent
		1.	Perimeter Security
		2.	Internal Security-Patrol and Search
	<u> </u>	3.	Transportation of Inmates
		4.	Supervision of Work Squads
•		5.	Participation in Classification/Discipline Bds.
		6	Staff Meetings
		7.	Release Program Supervision
		8.	Recreation Supervision
		9.	Inmate Movement Control
		10.	Supervision of Facility Functions (visiting, inmate meetings, etc.)
		11.	Individual Counseling of Inmates
		12.	Group Counseling of Inmates
		13.	Staff Training
		14.	
		15.	
		16.	
		17.	
		18.	
		19.	
	<u> </u>	20.	

- D-2.(a)On the chart below, find out and indicate how important each of the listed duties are to a caseworker/counselor in the designated facility. Use H=of high importance--essential to the job; M=of moderate importance--performs occasionally or as requested; L=of low or minimal importance--seldom or never done.
 - (b) Have respondents add other duties/tasks that caseworker/counselors may do and ask for ratings for each.

Small Facility	Commun Based		Caseworker/Counselor Duties
		1.	Interview inmates for collection of information
		2.	Write classification reports
		3.	Participate in Classification/Discipline Bds.
		4.	Plan inmate programs
		5.	Meet with resource persons for development of placement (job, school, etc.) opportunities
		6.	Individual counseling with inmates
		7.	Conduct group counseling
		8.	Conduct or participate (in) training sessions (staff)
		9.	Supervise Inmate activities
•		10.	Make routine classification changes
		11.	•
· .		12.	
		13.	
		14.	
		15.	
		16.	
		17.	
		18.	
		19.	
		20.	

D-3.	Descr <u>tiate</u>	ibe the	tasks o selecte	r speci d faci	ific jo Lities	b respo (D-1).	nsibil How a	ities th re they	at <u>differe</u> different?
	(a)	Housepar	ent (Yo	uth Sup	erviso	r, Livi	ng Uni	t Staff,	etc.)
		 		Desci	ription	of Tas	ks/Res	ponsibil	ities
Large Juve	nile	Institut	ion .						
			٠						

Community-	Based								
	-,	·				,			.,
	(b)	Casework	er/Coun	selor					
	(0)	<u>ouseworr</u>	(cr) oour		intion	of Tasi	c/Pacn	onsibili	ties
				Descr	ipeion	01 1431	хэ/ ксэр	0113 1011 1	CICS
				•					
Large Juve	enile	Institut	tion						•
Community	-Based						•		
**************************************							·		

	key position		ed Tactifities. (Mari	ls are different for c none if no differen
	(a) Housepa	rent (or Yo	uth Supervisor, Livir	g Unit Staff, etc.)
			Education Standards	Training Standards
arge Juv	enile Institu	ıtion		
ommunity	-Based			
	na kangangan kanan kanan kangan kangan kangan kangan kangan kangan kangan kangan kangan kangan kangan kangan k			
	(b) Casewor	rker/Counsel	or	
	(b) Casewor	rker/Counsel -	or Education Standards	Training Standards
	(b) Casewor	rker/Counsel	 Education	Training Standards
arge Juv	(b) Casewor	-	 Education	Training Standards
arge Juv		-	 Education	Training Standards
arge Juv		-	 Education	Training Standards

D-5. Describe any problems the department or facility may have in transferring personnel from larger institutions to community-based facilities and vice versa.

Probe for:

- Civil Service impacts
- Union impacts
- Problems for specified positions
- Training

National Manpower Survey Corrections Team

ADULT TRAINING DEPARTMENT INTERVIEW FORM

HQ/Agency:			
Address:	Street		
	City	State	Zip
Contact Per	son:		
Telephone:	area code		

This interview concerns information related to corrections training departments in general and the training given to six key occupations. Not all of these occupational categories will be relevant to all corrections headquarters or agencies. For example, a state headquarters might be responsible administratively with the training of all the six occupations while a small medium security prison might only be concerned with training three occupations. Therefore, make certain that the pertinent occupations for the headquarters/agency being visited are established before starting the interview. Brief descriptions of the six occupations are presented below. It is possible that positions go by different names at different places. If so, please note the proper titles next to those listed.

Correctional Institution Administrator

This is the highest level position with overall responsibility for the daily operation of a correctional facility with more than 200 residents. The position also includes those assistants who have responsibility for a major portion of facility operations. Position title examples are: Warden, Deputy Warden, Superintendent, Sheriff, etc.

Community Correctional Administrator

The person who has direct responsibility for the daily operation of a smaller, community-based correctional facility or program (200 residents or less). This position includes work camp or farms if the emphasis of the facility is on participation of the residents in work, school, and recreational activities in the community. These facilities usually emphasize a wide variety of programs and citizen-volunteer involvement. Position title examples are: Community Facility Manager, Work Release Supervisor, Superintendent, Director, etc.

Correctional Officer

All persons who have direct responsibility for the custody, security, and safety of residents of a correctional facility. Incumbents can work at the following types of facilities: large medium-maximum security institutions; small, community-based facilities; local jails; juvenile detention centers. Position title examples are: Guard, Custodial Officer, Jailer, Matron, House Parent, Residential Supervisor, etc.

Counselor/Caseworker

A person who has "line" responsibilities for "treatment" and service delivery to residents of a correctional facility. The incumbent may be a highly skilled counselor/social worker or an ex-offender whose primary emphasis is advocacy of resident needs and priorities. Position titles may be Correctional Treatment Specialist, Classification and Parole Officer, Case Manager, Advocate, Counselor, Social Worker, etc.

Probation Officer

The person who provides direct supervision and support for persons currently on probation.

Parole Officer

The person who provides direct supervision and support for persons currently on parole.

<u>A.</u>	Gen	eral/Administrative
1.	Det	ermine if the HQ/agency has full-time trainers. If yes,
	a.	How many?
	b.	Ratio of trainers to staff.
	c.	Required qualifications to be full-time re:
•		Previous work experience
		• Education
•		• Other (specify)
	d.	What kindsof training do they give?
2.	Det	termine if part-time trainers are used. If yes,
	a.	How many?
	b.	When used?
	c.	Qualifications re:
		• Previous work experience
		· · · · · · · · · · · · · · · · · · ·
		• Education
		• Other (specify)

A

d.	What kinds of training do they give?
e.	Typical workload
How resu	are training requirements established (e.g., established by law; ult of job analyses, etc.)?
How have	are training courses developed (e.g., up to the local trainees; e a special instructional development staff, etc.)?
Is	training evaluated? If yes, How (e.g., ability to perform criterion skills on-the-job, performance on tests, feedback from trainees or trainers, etc.)?

3.

4.

5.

 $\frac{\text{Who}}{\text{etc.}}$ (e.g., trainers, evaluation specialists, committee of experts, etc.)?

Note: If the results of any evaluation are available, ask for a copy.

6.	What techn	iques are used in	training	programs?	(Check	as many	, as
		lectures					
		small group discu	ssions				
		role-plays					
		field simulations	5				
		TV					
		film					
		programed instruc	ction			•	
		other (specify)				•	
· 7.	What was t	he total training	budget f	or			
	a. <u>1973</u>	197	74	1975		<u>197</u>	6(project)
							14 3 - 14 - 14 - 14 - 14 - 14 - 14 - 14 - 14
	b. In the	next five years,	do you e	xpect the b	oudget to):	
		increase					
		decrease					
		remain same		• • • • • • • • • • • • • • • • • • •			
	Why?						

A

8. Training Budget Information Provide information requested for current or latest year. Indicate whether information is for a Fiscal or Calendar Year which runs from ____ 197__ to _____ 197__. a. What is the TOTAL training budget? Budget breakdown: Salaries **b**. Personnel Fringes c. Supplies/Materials/Operating d. Equipment e. f. Travel **Consultants** g. h. 0ther If Federal funds support the operation of the Training Department, i. What purposes are the Federal monies for? j. What Federal Agency furnished the money? k. What percent of the total training budget do Federal monies comprise? If available get the following data: TOTAL budget for Pre-Service training 1. Salaries m. Personnel Fringes n. Supplies/Materials/Operating 0. p. Equipment Travel q. Consultants r. Other S. TOTAL budget for In-Service training t. u. Salaries Personnel

Fringes

Travel

Other

Equipment

Consultants

Supplies/Materials/Operating

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9. Note: Get information on this item only if the HQ/Agency's training is conducted at a centralized training academy which serves an entire state or region. Attempt to collect the following basic information about the Academy.

- a. What kinds of training are given (e.g., pre-service, in-service, etc.)?
- b. Number of staff trained the last fiscal or calendar year.
- c. If other components of the LE/CJ system besides corrections are trained, how much money supports corrections training?
- d. Curriculum areas common to all LE/CJ system components.
- e. What agency (Federal, State, Local) supports the Academy and how much?
- f. Forces and counter forces that will influence Academy's growth.

B. Pre-Service Training

Determine if the HQ/Agency administers pre-service training. If YES, complete this section; if NO, go to the next section.

A

1. For each pertinent key occupation, obtain basic information about the pre-service training as indicated (i.e., content or title of training, purpose--teach new skills, upgrade skills, orientation, etc.,--length of training, and whether training mandatory or optional).

	Training Content	Purpose	Length	Man.	Opt.
Correctional Institution Administrator					
Community Correctional Administrator					
Correctional Officer					
Counselor/ Caseworker					
Parole Officer					
Probation Officer					
Probation/ Parole Officer*					

^{*}Use only if functions combined.

1	A	1
4	<u> </u>	_

2. What have been the major changes in pre-service training for each pertinent key occupation over the past five years, what changes will likely occur within the next five years, and why (i.e., the forces and counter forces affecting training)?

	Changes over last five years	Why? + or - forces	Changes within next five years	Why? + or - forces
Correctional Institution Administrator				
Community Correctional Administrator				
Correctional Officer				
Counselor/ Caseworker				
Parole Officer				
Probation Officer				
Probation/ Parole Officer*				

^{*}Use only if functions combined.

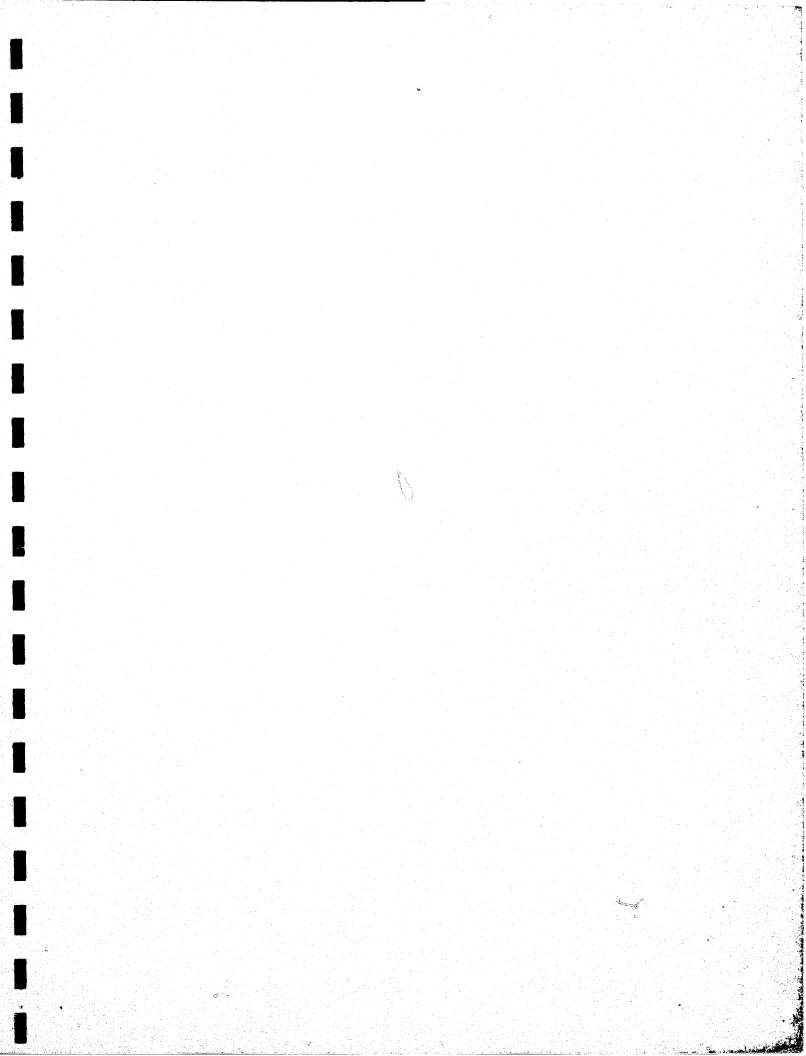
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3.	Where	does pre-service training typically take place?
		only in corrections facilities
		only in non-corrections facility (e.g., college classroom)
		other (specify)

4. What major obstacles are encountered in giving pre-service training (e.g., lack of money for training staff; release time for trainees, etc.)?



C. In-Service Training

Determine if the HQ/Agency administers in-service training. If YES, complete this section; if NO, go to the next section.

A

1. For each pertinent key occupation, obtain basic information about in-service training as indicated (i.e., content or title of training, purpose--teach new skills, upgrade skills, etc.--length of training, and if training is mandatory or optional).

	Training Content	Purpose	Length	Man.	Opt.
Correctional Institution Administrator					
Community Correctional Administrator					
Correctional Officer	ŧ				
Counselor/ Caseworker					
Parole Officer					
Probation Officer					
Probation/ Parole Officer*				6	

^{*}Use only if functions combined.

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	<i>,</i>

2. What have been the major changes in in-service training for each pertinent key occupation over the past five years, what changes will likely occur within the next five years, and why (i.e., the forces and counterforces affecting training)?

	Changes over last five years	Why? + or - forces	Changes within next	Why? + or - forces
Correctional Institution Administrator				
Community Correctional Administrator				**
Correctional Officer				
Counselor/ Caseworker				
Parole Officer		<u></u>		
Probation Officer				•
Probation/ Parole Officer*				

^{*}Use only if functions combined.

3.	Where does in-service training typically take place?
	only in corrections facilities
	only in non-corrections facilities (e.g., college classrooms)
	other (specify)
4.	What most often gives rise to the need for in-service training? (Check as many as needed.)
	<pre>specialized assignments</pre>
	promotional assignments
	changes in technology
	changes in law
	changes in policies/procedures
	need for general refresher training
	redesign of jobs
	other (specify)
	•
5.	What major obstacles are encountered in giving in-service training (e.g., lack of money for full-time training staff, inadequate facilities, etc.)?

	D. Oth	er training/continuing Education
A	1.	Does this HQ/Agency provide/administer any other category of training to pertinent key occupational categories (e.g., OJT, management training, review courses, etc.)?
		Yes (go to 2)
	•	No (go to 3)
A	2.	a. What kind(s) of training?
	•	b. To whom is it given?
		c. Who administers/gives it?
-		d. What's its purpose(s)?
	3.	Does this HQ/Agency have any policy regarding continuing education (defined as education in a formal curriculum leading to an associate or higher degree from some recognized community or 4-year college?
		Yes (go to 4)
		□ No (go to next section)

4.	What is the policy (re continuing education)?
·	Which of the pertinent key occupations qualify?
5.	How does the HQ/Agency facilitate staff continuing their education? (Check as many as appropriate.)
	work schedules adjusted to make it easy to attend
	time off to attend classes
	pay increased according to number of accumulated college credits
	promotion based on number of credits
	tuition reimbursed
	other (specify)

6. Obtain the following information about continuing education as it relates to this HQ/Agency.

<u> </u>	# Contin. Educa.	Degrees Being Sought	Major Fields (typical)
Correctional Institution Administrator			
Community Correctional Administrator			
Correctional Officer			
Counselor/ Caseworker			
Parole Officer			
Probation Officer	1		
Probation/ Parole Officer*			

*Use only if functions combined.

E. Other Influences on Training

1. If this HQ/Agency has a formal EEO-Affirmative Action program, has it had any effects on training policy, who is trained, and what training if offered? If yes,

Effects on training policy -

Effects on who is trained -

Effects on what training is offered -

Have employee associations/unions had any effects on training policy, who is trained, and what training is offered? If yes,

Effects on training policy -

Effects on who is trained -

Effects on what training is offered -

3. Has Civil Service had any effects on training, policy, who is trained, and what training is offered? If yes,

Effects on training policy -

Effects on who is trained -

Effects on what training is offered -

National Manpower Survey Corrections Team

JUVENILE TRAINING DEPARTMENT INTERVIEW FORM

UO/Aganaya			
HQ/Agency:			
Address:		• •	
	Street	i dan di dia dia mandala dan di dan di dan dan dan dan di dan di dan di dan di dan di dan di dan di dan di da	
	City	State	Zip
Contact Pe	rson:		**************************************
Telephone:		•	•
iciophone.	area code	And the second s	
: 			

For purposes of this survey, the key occupations in corrections are described here. Since not all key occupations may be relevant to this specific Department/Agency/Facility, provide information only on those that are.

Correctional Institution Administrator

This is the highest level position with overall responsibility for the daily operation of a juvenile detention/treatment facility. Such a facility may be designated as a Learning Center or Youth Development Center, but regardless of terminology, the primary emphasis is upon treatment in a security setting.

Community Correctional Administrator

The position with responsibility for overall delivery of services to juvenile offenders in a community or non-security setting. This position may be Director, Group Homes, or some similar title which indicates responsibility for treatment service delivery to juvenile offenders in minimal or non-security settings.

Houseparent, Living Unit Staff, etc.

Persons who have direct responsibility for the supervision and/or custody of children in a juvenile facility. This basic line custody position may involve some opportunity for counseling, etc., but is mainly directed toward supervision of children and detention areas.

Counselor, Social Worker, Case Manager

Persons who are responsible for the "treatment" program for juvenile offenders. Position probably entails counseling, record-keeping, coordination with youths' families, recommendation for release from detention facility, etc. This basic casework position focuses primarily on treatment service delivery in a juvenile facility.

After Care Worker, Court Service Worker, Juvenile Probation/Parole Officer

Persons who are responsible for supervision of children in the community, either released directly by the courts or from a juvenile facility. This is the basic treatment/service delivery position in non-detention settings.

NOTE: A indicates questions to ask at agencies/facilities.

<u>A.</u>	Gen	eral/Administrative
A_1 .	Det	ermine if the HQ/agency has full-time trainers. If yes,
	a.	How many?
	b.	Ratio of trainers to staff.
•	¢.	Required qualifications to be full-time re:
•		• Previous work experience
. ,		
		• Education
*		• Other (specify)
•		•
	d.	What kindsof training do they give?
	u.	what kinds of training do they give:
ř		
•		
A ₂ .	Det	ermine if part-time trainers are used. If yes,
	a.	How many?
	b.	When used?
	c.	Qualifications re:
		• Previous work experience
		Frevious work experience
		• Education
		• Other (specify)

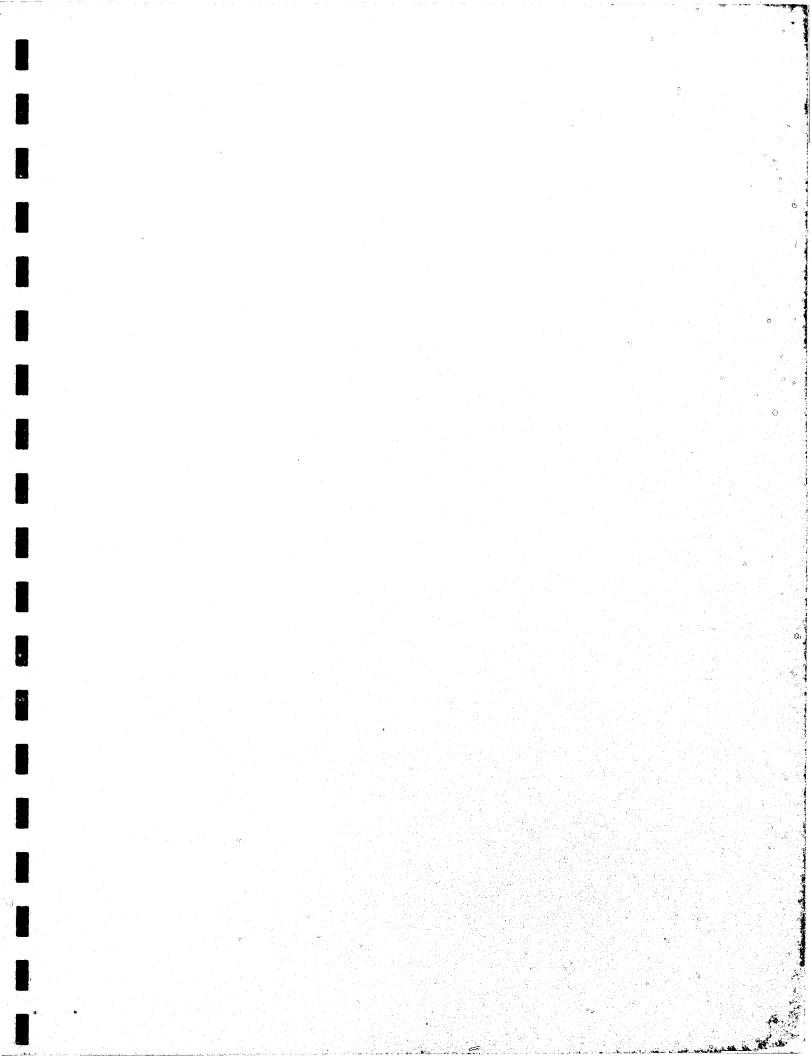
•		•	·
e.	Typical workload		
How res	are training requirements established ult of job analyses, etc.)?	(e.g., established	by law;
	•		
How	are training courses developed (e.g.,	up to the local tra	inees;
HAV	e a special instructional development	staff, etc.)?	•
	e a special instructional development	staff, etc.)?	·
	e a special instructional development	staff, etc.)?	·
·	e a special instructional development	staff, etc.)?	·
	training evaluated? If yes,	staff, etc.)?	•
		n skills on-the-job,	perform
	training evaluated? If yes, How (e.g., ability to perform criterio	n skills on-the-job, rainers, etc.)?	
	training evaluated? If yes, How (e.g., ability to perform criterio on tests, feedback from trainees or to the who (e.g., trainers, evaluation speci	n skills on-the-job, rainers, etc.)? alists, committee of	experts

6.	What techni	iques are use	ed in trainin	ng programs?	(Check	as many	as
		lectures					
		small group	discussions				
		role-plays			•	.··.	
		field simula	ations			•	
		TV					
		film				•	
		programed i	nstruction				
		other (spec	ify)				
Ā] ₇ .	What was t	he total tra	inina budaet	for			
٠ ' ليــ	a. 1973		1974	1975		1976	(project)
	b. In the	next five y	ears, do you	expect the	budget to):	
		increase				. 1 €	
		decrease					•
		remain same					
	Why?						

hether	ovide information requested for current or late information is for a Fiscal or Calendar Yo 197 to 197 .	•	runs from
	197 to 197		
a.	What is the TOTAL training budget?	.	i i i i i i i i i i i i i i i i i i i
α.	Budget breakdown:	Ψ	
	Salaries	**************************************	
b.	Dovconnol	ф	- 1 (1) (4) (4) (4) (4) (4) (4) (4) (4) (4) (4
C.	Fringes Supplies (Matanials (Openating	Э <u></u>	
d.	Supplies/Materials/Operating	\$	
е.	Equipment	<i>y</i>	
f.	Travel	\$	
g.	Consultants	\$	•
h.	0ther	\$	·
	What purposes are the Federal monies for? What Federal Agency furnished the money? What percent of the total training budget do	Federal mon	ies compri
j.	What Federal Agency furnished the money?	Federal mon	ies compri
j.	What Federal Agency furnished the money?	Federal mon	ies compri
j, k.	What Federal Agency furnished the money?	Federal mon	ies compri
j. k. f avail l.	What Federal Agency furnished the money? What percent of the total training budget do lable get the following data: TOTAL budget for Pre-Service training	Federal mon	ies compri
j. k. f avail l. m.	What Federal Agency furnished the money? What percent of the total training budget do lable get the following data: TOTAL budget for Pre-Service training Salaries Personnel	Federal mon	ies compri
j. k. f avail l.	What Federal Agency furnished the money? What percent of the total training budget do lable get the following data: TOTAL budget for Pre-Service training Salaries Fringes Supplies/Materials/Operating	Federal mon	ies compri
j. k. f avail n. n. o. p.	What Federal Agency furnished the money? What percent of the total training budget do lable get the following data: TOTAL budget for Pre-Service training Salaries Fringes Supplies/Materials/Operating Equipment	Federal mon	ies compri
j. k. f avail n. n. o. p.	What Federal Agency furnished the money? What percent of the total training budget do lable get the following data: TOTAL budget for Pre-Service training Salaries Fringes Fringes Supplies/Materials/Operating Equipment Travel	Federal mon	ies compri
j. k. f avail n. n. o. p.	What Federal Agency furnished the money? What percent of the total training budget do lable get the following data: TOTAL budget for Pre-Service training Salaries Fringes Supplies/Materials/Operating Equipment	Federal mon	ies compri
j. k. f avail n. o. p. q. r.	What Federal Agency furnished the money? What percent of the total training budget do lable get the following data: TOTAL budget for Pre-Service training Salaries Personnel Fringes Supplies/Materials/Operating Equipment Travel Consultants Other	Federal mon	ies compri
j. k. f avail n. o. p. q. r.	What Federal Agency furnished the money? What percent of the total training budget do Table get the following data: TOTAL budget for Pre-Service training Salaries Fringes Supplies/Materials/Operating Equipment Travel Consultants Other TOTAL budget for In-Service training Salaries Personnel	Federal mon \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$	ies compri
j. k. f avail n. o. p. q. r. s. t. u.	What Federal Agency furnished the money? What percent of the total training budget do Table get the following data: TOTAL budget for Pre-Service training Salaries Fringes Fringes Supplies/Materials/Operating Equipment Travel Consultants Other TOTAL budget for In-Service training Salaries Fringes Personnel	Federal mon	ies compri
j. k. f avail n. o. p. q. r. s. t. u. v.	What Federal Agency furnished the money? What percent of the total training budget do lable get the following data: TOTAL budget for Pre-Service training Salaries Fringes Supplies/Materials/Operating Equipment Travel Consultants Other TOTAL budget for In-Service training Salaries Personnel Fringes Supplies/Materials/Operating	Federal mon	ies compri
j. k. f avail n. o. p. q. r. s. t. u.	What Federal Agency furnished the money? What percent of the total training budget do Table get the following data: TOTAL budget for Pre-Service training Salaries Fringes Fringes Supplies/Materials/Operating Equipment Travel Consultants Other TOTAL budget for In-Service training Salaries Fringes Personnel	Federal mon \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$	ies compri

9. Note: Get information on this item only if the HQ/Agency's training is conducted at a centralized training academy which serves an entire state or region. Attempt to collect the following basic information about the Academy.

- a. What kinds of training are given (e.g., pre-service, in-service, etc.)?
- b. Number of staff trained the last fiscal or calendar year.
- c. If other components of the LE/CJ system besides corrections are trained, how much money supports corrections training?
- d. Curriculum areas common to all LE/CJ system components.
- e. What agency (Federal, State, Local) supports the Academy and how much?
- f. Forces and counter forces that will influence Academy's growth.



B. Pre-Service Training

Determine if the HQ/Agency administers pre-service training. If YES, complete this section; if NO, go to the next section.

Al. For each pertinent key occupation, obtain basic information about the pre-service training as indicated (i.e., content or title of training, purpose--teach new skills, upgrade skills, orientation, etc.,--length of training, and whether training mandatory or optional).

	Training Content	Purpose	Length	Man.	Opt.
Correctional Institution Administrator					
Community Correctional Administrator					
Houseparent, Living Unit Staff, etc.	**************************************	0			
Counselor, Social Worker, Case Manager		•		•	
After Care Worker, Court Service " Juvenile Probation/ Parole Officer					

A2. What have been the major changes in pre-service training for each pertinent key occupation over the past five years, what changes will likely occur within the next five years, and why (i.e., the forces and counter forces affecting training)?

	Changes over last five years	Why? + or - forces	Changes within next five years	Why? + or - forces
Correctional Institution Administrator				
Community Correctional Administrator				
Houseparent, Living Unit Staff, etc.			89	
Counselor, Social Worker, Case Manager	•		•	,
Aft.Care Work., Court Serv. " Juv. Prob./ Par. Officer		٥		

3.	Where	does pre-service training typically take place?
		only in corrections facilities
	。	only in non-corrections facility (e.g., college classroom)
		other (specify)

A4. What major obstacles are encountered in giving pre-service training (e.g., lack of money for training staff; release time for trainees, etc.)?

C. In-Service Training

Determine if the HQ/Agency administers in-service training. If YES, complete this section; if NO, go to the next section.

Al. For each pertinent key occupation, obtain basic information about in-service training as indicated (i.e., content or title of training, purpose--teach new skills, upgrade skills, etc.--length of training, and if training is mandatory or optional).

	Training Content	Purpose	Length	Man.	Opt.
Correctional Institution Administrator					
Community Correctional Administrator					
Houseparent, Living Unit Staff, etc.					
Counselor, Social Worker, Case Manager				•	
After Care Worker, Court Serv. Worker, Juv. Prob./Parole Officer					

A)2. What have been the major changes in in-service training for each pertinent key occupation over the past five years, what changes will likely occur within the next five years, and why (i.e., the forces and counterforces affecting training)?

	Changes over last five years	Why? + or - forces	Changes within next five years	Why? + or - forces
Correctional Institution Administrator				
Community Correctional Administrator				
Houseparent, Living Unit Staff, etc.				
Counselor, Social Worker, Case Manager				
Aft. Care Work., Court Serv. ", Juv. Prob./Par. Officer				٠

3.	Where	e does in-service training typically take place?	
		only in corrections facilities	
		only in non-corrections facilities (e.g., college classro	oms)
		other (specify)	•
<u>[A]</u> 4.	What (Che	most often gives rise to the need for in-service training ck as many as needed.)	j?
		specialized assignments	
		promotional assignments	
		changes in technology	-
		changes in law	
		changes in policies/procedures	
		need for general refresher training	
		redesign of jobs	
		other (specify)	
A ₅ .	(e.g	t major obstacles are encountered in giving in-service trag., lack of money for full-time training staff, inadequate ilities, etc.)?	ining

D. Oth	er Training/Continuing Education
AI.	Does this HQ/Agency provide/administer any other category of training to pertinent key occupational categories (e.g., OJT, management training, review courses, etc.)?
•	Yes (go to 2)
	□ No (go to 3)
A2.	a. What kind(s) of training?
	b. To whom is it given?
	c. Who administers/gives it?
	d. What's its purpose(s)?
3.	Does this HQ/Agency have any policy regarding continuing education (defined as education in a formal curriculum leading to an associate or higher degree from some recognized community or 4-year college?
	☐ Yes (go to 4)
	☐ No (go to next section)

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4.	What	is	the	policy	(re	continuing	education)?
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Which of the pertinent key occupations qualify?

5.	How does the HQ/Agency facilitate staff continuing their education? (Check as many as appropriate.)
•	work schedules adjusted to make it easy to attend
	☐ time off to attend classes
	pay increased according to number of accumulated college credits
	promotion based on number of credits
	tuition reimbursed
	On other (specify)

6. Obtain the following information about continuing education as it relates to this HQ/Agency.

	# Contin. Educa.	Degrees Being Sought	Major Fields (typical)
Correctional Institution Administrator			
Community Correctional Administrator			
Houseparent, Living Unit Staff, etc.			
Counselor, Social Worker, Case Manager			
A.C. Worker, C. Serv. ", Juv.P./P. Off.			

E. Other Influences on Training

1. If this HQ/Agency has a formal EEO-Affirmative Action program, has it had any effects on training policy, who is trained, and what training if offered? If yes,

Effects on training policy -

Effects on who is trained -

Effects on what training is offered -

2. Have employee associations/unions had any effects on training policy, who is trained, and what training is offered? If yes,

Effects on training policy -

Effects on who is trained -

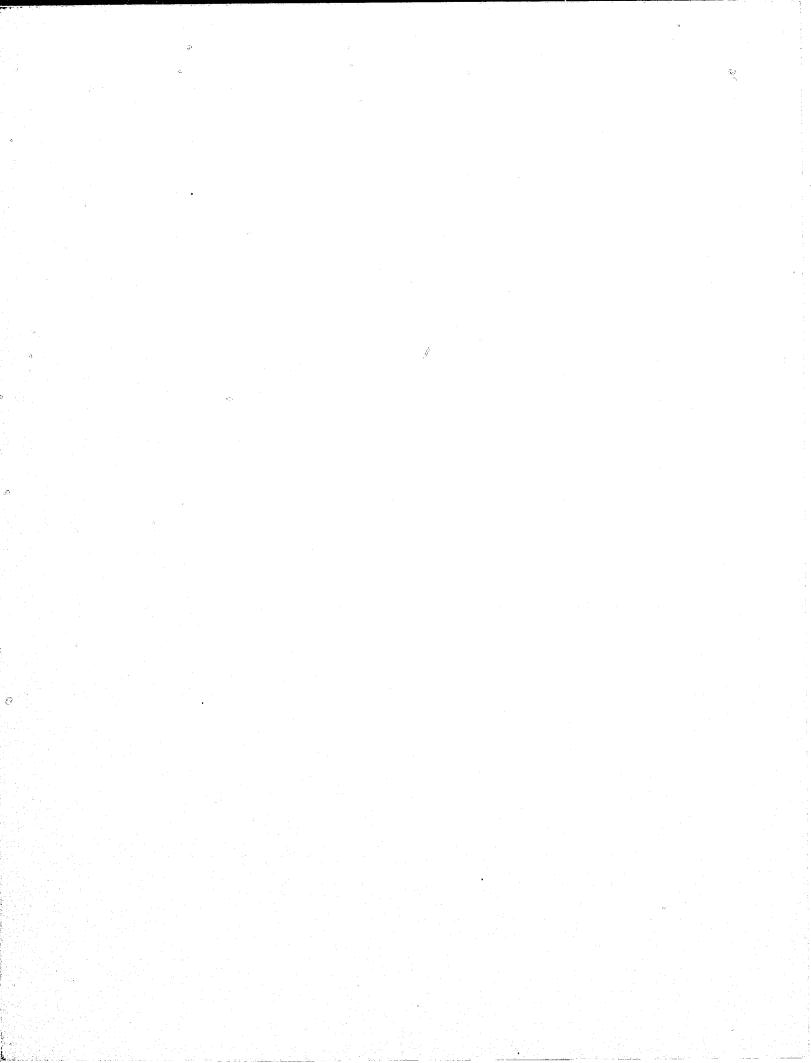
Effects on what training is offered -

Has Civil Service had any effects on training, policy, who is trained, and what training is offered? If yes,

Effects on training policy -

Effects on who is trained -

Effects on what training is offered -



END