

SKILLS FOR IMPACT

VOLUNTARY ACTION IN CRIMINAL JUSTICE

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Foreword by Elliot L. Richardson

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Written by

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Institute of Government
University of Georgia

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Foreword

You are a concerned person, or you would not be reading this book.

You are concerned about crime in this country and the seeming inability of the American criminal justice system to curb it effectively. And you want to do something about it.

I commend you for this attitude. Just ten years ago the President's Commission on Law Enforcement and the Administration of Justice wrote:

Given enough time and money, specialists can do dramatic things. They can prolong human life. They can make deserts bloom. They can split the atom. They can put men on the moon. However, specialists alone cannot control crime. Crime is a social problem that is interwoven with almost every aspect of American life; controlling it involves changing the way schools are run and classes are taught, the way cities are planned and houses are built, the way businesses are managed and workers are hired. Crime is a kind of human behavior; controlling it means changing the minds and hearts of men. Controlling crime is the business of every American.

Every American can translate his concern about, or fear of, crime into positive action. Every American should.

Those statements are as true today as they were in 1967. I believed them then and I believe them now.

In those years I was the Attorney General of the Commonwealth of Massachusetts, actively engaged in trying to get crime prevention legislation through the state legislature. The more I learned about the practical problems of crime prevention, the more clearly I saw the necessity not only for citizen support but citizen involvement. I came to understand that the alertness of property owners and businesses to opportunities for reducing temptations to crime, the willingness of citizens to report crimes and to give information to the police, the development of a responsible attitude toward testifying and toward jury services, and public awareness of the need to provide worthwhile work for discharged offenders, are among the most important ways in which citizen involvement can make a difference. Once having grasped this, I began to work with the existing citizen groups in Massachusetts on the creation of a combined citizens organization bringing together hitherto fragmented efforts. This brought me into contact with the National Council on Crime and Delinquency. The result was the formation of the Massachusetts Citizens Crime Commission as the Massachusetts chapter of the NCCD. And it was through the NCCD that I became aware of the valuable work of the Association of Junior Leagues in expanding citizen participation in community-based crime prevention efforts.

Citizen involvement in crime prevention and in efforts to strengthen the criminal justice system is more than a practical necessity. It is also a vital element in a free society's partnership between its citizenry and their government. Everyone would agree that our nation's most precious resource is its people. The equal truth — that they are a resource which must be freely and voluntarily devoted to the community if it is for long to remain free and self-governing — needs constant renewal and reemphasis.

All too often we have entrusted government to solve our problems for us. Now, more than ever, it should be evident that government cannot do everything — and should not be asked to attempt it. Institutions cannot function in isolation from the public they are asked to serve, and a society that does not engage the knowledge and skill of its citizenry cannot pretend to democracy. Voluntary participation is the right — and the responsibility — of every American.

The problems of crime and the criminal justice system are many. Respect for the law seems to have become as old-fashioned as hoop skirts. Although every American is entitled to expect that the laws of his country will be administered in an even-handed manner, it is only too apparent that reality mocks the expectation; those without influence bear the brunt of prosecution while violators of antitrust laws and other white-collar criminals are ignored and unpunished. Law enforcement officials find their time so heavily consumed by the victimless offender — the drunk, the addict, the petty gambler, and the vagrant — that they cannot effectively combat serious crime. Meanwhile,

escalating crimes of violence have made people afraid to venture out of their homes for fear of being victimized. Aggravating trial delays and endless litigation are common, and the longer the delays, the greater the number of crimes committed by defendants at large on bail. Perhaps most tragically, our criminal justice system ordinarily operates as a "school for crime" for young people whose problems could better be treated by other agencies.

What should be done about it? Much more, certainly, than we have done so far. But we cannot allow ourselves to become paralyzed by the enormity of the task. We must use all the ingenuity and energy at our command to find better answers. We must tap intelligence and resourcefulness of the American people; we must encourage them to participate in the development of national strategies for change. And this mammoth undertaking can only begin with those like you who are willing to give it their time and talents.

This book counts upon your concern and calls upon your leadership. Distilled from experience with more than 180 projects undertaken by upwards of 3,000 volunteers, it attempts to equip you with specific "how-to" skills and techniques that will increase your capacity to mobilize and focus your community's efforts to improve the functioning of its criminal justice system. Those efforts will not be easy either to enlist or to sustain. And having been enlisted, they must not be allowed to collapse and die after the first short burst of energy and enthusiasm.

But the endeavor is well worth the cost. Voluntary initiatives of the kind this book can help you to organize are a vital part of our democratic life. They epitomize the freedom of a self-governing society. In acting voluntarily to improve criminal justice, you will not only be making your community a better and safer place to live, but, by exercising your right to participate in the direction of your society, you will be helping to preserve the very essence of the American way.

The Association of Junior Leagues deserves great credit for its initiative in sponsoring this thoughtful, clear, and concise handbook. You will deserve the thanks of your fellow citizens for *your* IMPACT on the quality of their lives. I hope they express their gratitude. But the real reward of responsible citizenship is not in the appreciation it attracts but in the satisfaction it brings for its own sake.

Elliot L. Richardson

Preface

This is a book to share IMPACT. Which is to say that this book reflects all the hopes, hard work, and hard-won experience that resulted from an equation reading "Awareness + Skills = IMPACT."

IMPACT was a four-year project designed to enable the Junior Leagues of the United States and Canada, through study, planning, and action, to effect positive changes in the criminal justice system and, ultimately, to reduce crime and delinquency. It began in 1973.

A Gallup Poll released early that year showed that more than one of every five Americans had been victimized by crime between December 1971 and December 1972. In the central cities the figure was worse: one out of three. Not surprisingly, respondents to the poll listed crime as the worst problem in their communities.

The year 1973 also saw the release of the massive, seven-volume report of the National Advisory Commission on Criminal Justice Standards and Goals. Key sentences in that report read,

Action by private citizens is at the heart of community crime prevention. . . . Citizens can improve education, employment, and recreation; citizens can devise programs to reduce criminal opportunities by designing safer buildings; citizens can insure the integrity of elected and appointed officials. . . . Citizens can volunteer to join the 250,000 volunteers now working with offenders in courts, prisons, and juvenile institutions. . . . Citizen organizations can promote reforms by conducting studies and informing others.

In concluding the volume entitled *A National Strategy to Reduce Crime*, the commission wrote, referring to its two-year-long labors.

This Commission has sought to formulate a series of standards, recommendations, priorities, and goals to modernize and unify the criminal justice system and to provide a yardstick for measuring progress. Its purpose has been the reduction of crime. . . . But the Commission's work is only the first step. It remains now for citizens, professionals, and policy-makers to mount the major effort by implementing the standards proposed.

These words, written even as the poll results were being tabulated, constituted an enormous challenge for voluntary organizations such as the Association of Junior Leagues (AJL).

The need was clear; the problem was how.

In the spring of 1973, the AJL contracted with the National Council on Crime and Delinquency (NCCD) to design the orientation materials and survey instrument that was used that summer by League members in 185 cities to gather data on the criminal justice system in their own communities. In December, the NCCD assisted the AJL in planning a four-day training institute in Houston, Texas, to which each League was permitted to send two delegates and a local professional or lay leader working in the criminal justice field who had demonstrated an interest in change. Participants at the institute were given a broad overview of issues in criminal justice and then, working in small groups and using their survey data, they were helped to set and refine goals, determine the best alternatives for action, and develop plans for mobilizing their communities. A year later the NCCD again assisted the AJL in the conduct of follow-up meetings that gave Leagues an opportunity to share their postinstitute experiences and receive professional advice on how to overcome some of the obstacles that had emerged.

The results of all this activity? Since the project's inception approximately 190 separate involvements have been undertaken by more than 150 Junior Leagues. These have utilized over 3,000 volunteers, spent one and one half million dollars in local League money, and generated approximately seven and one half million dollars in outside funding. League members served as one-to-one volunteers involved in client contact and as researchers, planners, catalysts, administrators, fund-raisers, and advocates. Their projects were in prevention and diversion and in each segment of the criminal justice system, and they utilized a broad range of strategies that included everything from program enrichment to systems change. There were jail counseling projects, group homes, volunteer recruitment efforts, rape treatment centers, public education campaigns that led to better system coordination or new legislation, and many others.

These are positive results. In reporting on its two-year summative evaluation of the IMPACT project, the National Information Center on Volunteerism (NICOV) said, "The effects achieved by IMPACT were more than commensurate with the money and effort invested . . . [and] the return on investment is even more favorable when one considers that Junior League-sponsored criminal justice

related programs are continuing to operate through successful transfer of funding and operational responsibility to the community." Other less tangible but equally positive results noted by the NICOV were "changes in attitude and awareness" in both Leagues and their communities, as well as the favorable responses "of clients, volunteers, host agencies, and communities to the effects of League programs."

The training offered at the Association level, including the assistance of the NCCD, was funded by a grant from the Law Enforcement Assistance Administration. A second grant was awarded in the winter of 1974-1975 which allowed the AJL to contract with the NICOV for the evaluation of the IMPACT project quoted above, and with the Institute of Government at the University of Georgia for a study of successful League projects. The Institute's study is the basis for this book, which illustrates the process of project selection and implementation so that what the Leagues had learned might be utilized by other citizen groups.

From 159 projects originally screened, the Institute of Government selected thirty for intensive study. During the time of the study, those thirty projects were entitled to receive technical assistance from the Institute staff and consultants, providing further insight into the experiences the volunteers were having as they developed their programs. Other voluntary groups and agencies were also contacted for advice as to what information would be most useful to include in this publication.

Nine of the thirty League projects were then selected as case studies for *Skills for Impact*. They were chosen for their excellence in utilizing some of the principles of voluntary action that were being developed from the project study and for their diversity in project type, size, cost, and geography. These cases illustrate, in a concrete way, some of the points made in the handbook text. They also illustrate the many different forms citizen involvement can take: some of the projects needed a lot of money and some cost nothing; some were accomplished by volunteers working within the League structure and in some cases an entirely new, autonomous organization was created; some were done by a League alone, while in other cases the League's role was that of a catalyst to the initiation of action by other groups or the formulation of a coalition for the accomplishment of desired ends.

Interestingly, despite the diversity of their involvements, the IMPACT volunteers found that they gained many common insights. They found that most projects were spearheaded and sustained by one or two highly committed women; they found that they constantly underestimated the amount of time it would take to finish a particular phase of their efforts, sometimes because they forgot to factor in the time it took to learn the new skills their activities demanded; they found that deciding what to do was often the hardest part of their involvement; they found that system officials, far from welcoming their well-meaning intervention, frequently had to be convinced by knowledge and persistence that citizen action could be a positive force; and they found that there was often a fine line between cooperating with the system and being co-opted by it.

But perhaps most importantly, they found that the intention to "do good" was not enough to ensure that good was actually done. Without the accumulation of a sizable number of skills — skills in need assessment and management, skills in communication and advocacy, skills in budgeting and evaluation — all the zeal and hard work in the world might result in little more than a few warm fuzzies for the volunteers. Most volunteers today — volunteers like those of you who will read this book — want more for their efforts than that. They want to know that their labors have made a difference — an IMPACT.

We hope this book will give you the skills to do just that.

September, 1977

*The Association of Junior Leagues, Inc.
New York, New York*

Introduction

Skills for Impact is devoted to planned, purposive change; its emphasis is upon the machinery by which change is effected. Without strategy and tools, ideology and commitment are reduced to empty rhetoric.

As with all tools, the ones discussed in the following pages are static, not dynamic. Moreover, they are amoral. The appropriateness and success of their application depend upon the user. Without careful deliberation, they may be as unresponsive as the societal institutions you hope to change, or they may become weapons of the zealot. The decisions you must make will influence not only how effectively your project is carried forward, but whether it is a meaningful pursuit in the first place. The options are almost limitless, but the more resources you plan to invest in a project, the more essential is deliberation in assessing alternatives and making decisions.

Accordingly, the text presents general guidelines, strategies, and recommendations, but when it comes to the specific content for your program, there is no one formula to follow. Many of us like being told the answers to problems we may expect in the future; we like simple recipes. Yet every community, group, situation, and problem is unique. Thus it is not possible to present the answers in advance or to present a single blueprint that will automatically produce an effective, worthwhile project for your community. Differing as they do in almost every other respect, most problems and decisions have one common element: they require essentially the same process of solution. Rather than concentrating on answers, *Skills for Impact* emphasizes the process of solving which can be adapted to your unique situation. Even so, many of the general rules and guidelines are subject to debate; the flexible, creative change agent must develop personal rules and personal exceptions to the rules.

Planned, purposive change in a major societal institution such as the criminal justice system is not easily or quickly effected. As John W. Gardner so poignantly described in *No Easy Victories*, ours is the age of the sophisticated dropout. Excuses for noncommitment and noninvolvement are many: it is easy to become so wrapped up in your personal life that there is no time for the larger problems of the day; another is to immerse yourself so completely in a specialized, professional field that the larger community ceases to exist; and still another way of turning your back on the community is to assert that society is corrupt and morally beneath you.

If constructive change is to be built into resistant human institutions, if our imperfect society is to be bettered, we must move beyond bright ideas on how things ought to be. We must be patient with the machinery by which ideas are translated into action, or the machinery will defeat us. We must avoid dilettantism.

The curse of citizen action is the glancing blow — a little work on this committee and on to the next one; a little work on that committee and on to something else. Too often the citizen active in community affairs is essentially a dabbler never getting in deep enough to have any effect; never getting far enough below the surface to understand how the machinery works in whatever activity he is trying to change, just lingering long enough to sign the committee report, not staying long enough to see what the consequences of the report are.

That is not good enough in a society designed to depend on citizen concern and action.¹

Skills for Impact is not written for the sophisticated dropout or for the bored dabbler. It is written for people who are willing to take the initiative, to serve as catalysts in persuading able and influential community residents that they, too, must assume personal responsibility for their community's future. Thus, this book addresses the voluntary leader more than the volunteer who altruistically participates in the anticrime efforts of others in order to strengthen existing programs and to help government funds stretch further. Both are needed, but voluntary leadership is an endangered species, while the number of volunteers grows daily.

The text is divided into six major sections. The first begins with an overview of crime, delinquency, and the criminal justice system, followed by an examination of the opportunities for voluntary intervention to improve current conditions.

The second section begins the how-to part of the book by focusing on the initial decisions to be made in determining what criminal justice involvement to pursue. It includes a chapter on forming a group to sponsor an involvement and progresses to project selection by way of assessing com-

1. John W. Gardner, *No Easy Victories* (New York: Harper and Row, 1968), p. 130.

munity needs, selecting and studying a particular need or problem area, and analyzing specific opportunities for intervention in relation to the resources and interests of group members.

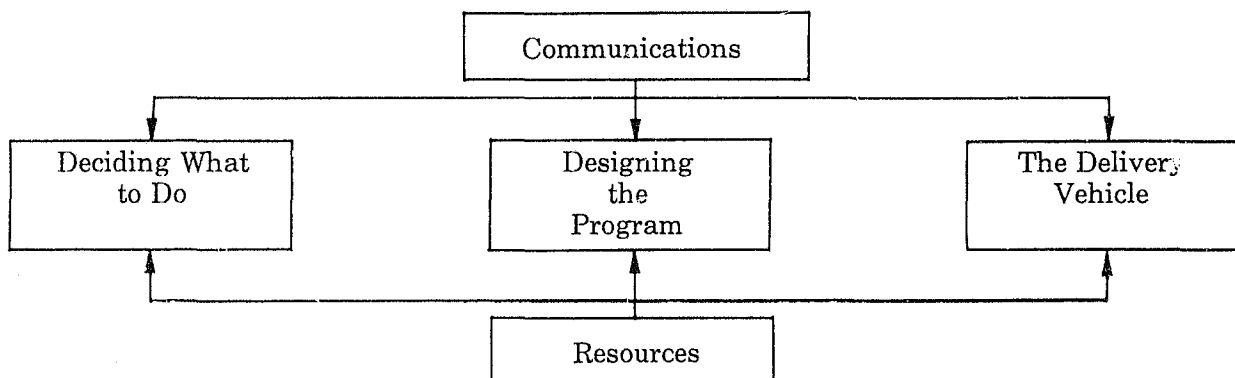
The third section moves into designing the program. Included are the steps to developing a detailed action plan, building in controls and evaluation procedures for insuring accountability, budget planning, and securing the needed funds.

The fourth section begins with a discussion of management concerns; legal considerations, such as taxes, contracts, and insurance; boards and advisory committees; and organizational structures (how to divide and coordinate work, e.g., committees). Next, leadership roles and requirements, and alternative ways of making decisions are examined. Finally, techniques for recruiting, selecting, training, rewarding, and supervising volunteers, along with the issue of volunteer and salaried staff relations are explored.

A recurrent theme throughout the text is orchestrated in the fifth section, which emphasizes the importance of communicating with other groups and organizations if maximum benefits are to be derived during your criminal justice involvement. The chapters on community involvement, public relations, and advocacy discuss the who, why, and how of community individuals, groups, and institutions that you may wish to involve in your efforts or to influence by your activities.

The sixth and final section details the various types of assistance and resources available to those working with community anticrime programs. Included are sources of funding, information, technical assistance, and volunteers.

The relationships between the five how-to sections may be charted as follows:



Voluntary leadership in criminal justice can take many forms. The text is directed toward both the novice and the veteran participant in organized community efforts to improve the criminal justice system. Included are persons who might be interested but need to organize before proceeding, to those who are already doing their thing but see room for improvement. Therefore, some sections and chapters may be more relevant to your interests than others. Although the material is presented in self-contained units so the text can be read sequentially or selectively, the processes discussed in the various chapters are interdependent, as reflected by the numerous cross references. The Reader's Guide, a detailed table of contents, may be used to locate topics of particular interest.

Hundreds of people contributed to the ideas presented in *Skills for Impact*, both during the preliminary research stage and in reviewing the initial drafts. These include League members involved in criminal justice programs; Association of Junior League Board members and staff; representatives of the General Federation of Women's Clubs, the National Council of Jewish Women, the Chamber of Commerce of the United States, Volunteers in Probation, the National Information Center on Volunteerism; and representatives from many other voluntary programs and government agencies who completed a questionnaire on priority topics and emphases for the book, supplied information on their own programs and experiences, and/or reviewed the first draft. Also included are Institute of Government staff members and consultants, and participants, researchers, and authors in the fields of criminal justice and volunteer program development. Although I run the risk of offending many individuals whose contributions are sincerely appreciated, special recognition must be extended to the following:

Winefred Thompson, past Director of Public Welfare for the District of Columbia and currently a national consultant on juvenile delinquency, and family and child welfare programs, who

researched and wrote the first draft of the major portion of Chapter 11 on funding and budget development.

Donald D. Brewer, Administrator of the Criminal Justice Division, Institute of Government, whose steadfast guidance and participation in planning the publication and reviewing its contents were indispensable.

Nancy Anderson, who, during and following her tenure as Chairperson of the Association of Junior League's IMPACT committee, spent hundreds of hours brainstorming, reacting, reviewing, editing, and writing segments of the draft. Because of Nancy's efforts, the input received from scores of people with diverse ideas, experiences, interests, and priorities were accommodated to the benefit of this publication.

Ann Blum, Jane Hudson, Stephen Willhite, and others of the Institute of Government staff who during the "final hour" helped to polish the manuscript.

Athens, Georgia
September 1977

B.B.M.

SECTION I

PROBATION OFFICER FOR CHARGE

Probation Officer for Charge

Probation Officer for Charge

Probation Officer for Charge

Chapter 1

Crime and Delinquency

What is Crime?

Technically speaking, a crime is an act which violates a criminal code or one of the various laws designed to regulate the behavior of either individuals or groups. The many faces of crime highlight the contradictions and dilemmas in our society. Crime may be a rejection of social ties and obligations, a quick avenue to material wealth in a country which values wealth regardless of its sources, a protest against injustice, a symptom of individual maladjustment, an indication of inadequate and unresponsive societal institutions, and a day-to-day pattern in the life and times of the business person.

When most people think of crime and the crime "problem," they are thinking in terms of the seven index crimes on which the Federal Bureau of Investigation (FBI) gathers nationwide statistics: murder, forcible rape, robbery, aggravated assault, burglary, automobile theft, and larceny of items worth fifty dollars or more. These crimes, committed "in the streets", are the ones for which the rates always seem to be soaring and are the crimes feared most by society. Yet, they constitute only a small part of the crime picture. Less than 10 percent of those arrested are charged with an index offense. Drunken drivers kill more people than all index crimes combined, while fraud and embezzlement take more property than all the index crimes.

In many states a special category of offenses — "status" offenses — are considered crimes only if committed by juveniles. These may include truancy, running away from home, consensual sexual behavior, obscene language, smoking, drinking, curfew violations, disobeying authority, and such ambiguous classifications as waywardness, incorrigibility, ungovernability, and associating with immoral persons. Traditionally, about one-third or more of juvenile arrests, referrals to juvenile courts, and detentions have been based on such status offenses. However, it is increasingly recognized that such behavior is almost part of the growing-up process, and thus does not constitute delinquency as it is most commonly understood, although it may indicate serious family problems that require some type of community intervention and service.

Status offenses may be considered victimless

crimes in that only the offender is a victim of his offense. Adults are also legally accountable for a wide range of victimless crimes. Over the years, states have enacted into criminal statutes an enormous number of acts which are not within themselves injurious to the lives or property of others. Attempted suicide, homosexuality and many other sexual acts between consenting adults, drug addiction, public drunkenness, vagrancy, prostitution, and gambling are outlawed in many states. Archaic crimes still on the books in some states include failure to attend church and changing the oil of an automobile on Sunday.

Within the last decade, we have seen civil disobedience and, less frequently, riots by people protesting the Viet Nam War, discrimination against minority groups, the refusal of school administrators to involve students — and sometimes faculty — in decision making, and the conditions in prisons and jails. Civil disobedience is an open and deliberate violation of a particular law, ordinance, process, or procedure considered by the disobedient group to be unjust, unfair, or protective of antiquated or undesirable values. It hinges on the willingness of the disobedient individual or group to go to jail in order to draw public attention to the situation. Frequently, controlled disorders — sit-ins, marches, boycotts, etc. — have had to be preceded by riots before they were seriously considered by authorities. Those participating in civil disobedience sometimes have considerable public support and sympathy, particularly when they are subjected to police brutality during peaceful assemblies. Although they are often arrested, they are seldom sentenced or incarcerated.

The breaking of laws by individual business people and corporations is widespread. Such crimes include embezzlement, sabotage, illegal restraint of trade, violation of pure food and drug laws, illegal air and water pollution, padding expense accounts, falsifying records, price fixing, distributing fraudulent securities, building code violations, peddling of influence and votes by public officials, misrepresentation in advertising, unfair labor practices, infringement of patents and copyrights, fraudulent medicare or medicaid reports, illegal prescriptions for narcotics, securing perjured testimony from witnesses, violations of income tax laws,

and on and on. Sometimes known as white-collar crime, these offenses might be more accurately called occupational crime since, for example, unnecessary repairs by automobile mechanics and watering milk for public consumption by farmers are included. Very often such offenses go unreported and unpunished because people (including victims) tend to view them as "business is business" and to insist that only murder, rape, and burglary are real crimes. Yet at a minimum, their monetary costs far exceed those of all other crimes combined. For example, in 1960 the Justice Department exposed price-fixing offenses by electrical equipment manufacturers which cost public utility companies and ultimately the public more money than was reported stolen by burglars during that year. In 1974, banks and savings and loan associations lost more than five and one-half times as much by embezzlement and fraud as by robbery.¹ The cost of occupational crimes is staggering in terms of physical injuries and deaths; the millions of dollars in increased business operating costs passed along to the average consumer; the financial losses from the purchase of worthless or unnecessary goods; and most importantly, weakened social and political institutions. This last cost relates to the erosion of morals, loss of confidence in the free enterprise system and middle class business people, and increased distrust of laws and courts — all of which lead to the widespread attitude of "everybody else is doing it, why shouldn't I?" Since occupational criminals are typically of the same social class as judges and can afford to employ skilled attorneys, they are seldom imprisoned even when apprehended and charged. Consequently criminal statistics do not reflect their numbers nor the damage that they do to society.

Organized crime consists of rationally organized groups which sell illegal goods and services to a large public market. Gambling (including widespread but frequently illegal betting on college sports); "loan sharking" or "shylocking;" procurement, distribution and sale of narcotics; prostitution; and bootlegging are among their wares. Crime syndicates may be nationally, regionally, or locally organized and have been referred to as the Mafia, La Cosa Nostra, the Outfit, the Syndicate, and the Mob. In the past several decades, organized crime has gained power and respectability by taking over legitimate businesses, including restaurants, clubs and bars, labor unions, real estate, garment manufacturers, food production, etc. Such business interests are used as fronts for illegal

activities and as vehicles for skimming off tax-free cash. Efforts are frequently made through strong-arm tactics to gain monopolistic control over legitimate businesses. With the shift toward business fronts, the "family members" of criminal syndicates are increasingly professional — lawyers, accountants, etc. — rather than tough guys or "soldiers." The characteristics of organized crime — strong-arm tactics; bribery of police, prosecution staffs, courts, and the press; contempt for law; and abridgement of individual rights — make it a significant threat to a democratic society. Yet organized crime is not clearly perceived as crime by the public since it provides tangible services generally desired.

Obviously, there is no simple answer to the question of "what is crime?" In addition to the crimes committed by professional criminals, business people, and crusaders are the street crimes committed by amateurs. Coming largely from the lower socioeconomic class — and motivated by impulse, anger, hopelessness, self-pity, or lust — these offenders commit ill-planned acts of robbery, arson, rape, theft, or assault. Since they seldom plan their crimes systematically, usually have inadequate legal counsel, do not typically bribe police or prosecution officials, and may not be perceived favorably by judges and probation officials, these offenders are more apt to be caught and prosecuted than other criminals. Thus they account for a disproportionate share of the criminal statistics and compose the primary populations of jails, reformatories, prisons, and other correctional facilities.

The types and methods of crime are as varied as human beings and human behavior. Offenders act within the range of their opportunities and situations. Bankers don't rob banks, they embezzle. Poor people don't fix prices, they snatch purses. It is the crimes of the poor and the powerless that most enrage and frighten the affluent majority; riots, muggings, robbery, and rape are loathsome not only because of their inherent inhumanity but because they and their causes are so incomprehensible to the majority. Yet, if the opportunities available to the powerful were also available to the poor, perhaps, they too would engage in less crime or at least in "neat crime."

It is difficult to rationally consider the problem of crime since it is an emotional subject evoking anger and fear. When we think of crime, we think first of those crimes that we most fear, those that can bring bodily harm. Consequently, we ignore many types of crime,

and the violence that represents a relatively small percentage of criminal activity forms our largest impression. Violent, bizarre crime is a grave problem, but it is so interrelated with the other types of crime that attempting to control the violent crimes of the poor without attacking the cunning crimes of the powerful is fruitless.² Organized crime leads to street crime, e.g., the drug addicts who must steal to pay for their habits, and the teenagers in the ghetto whose only affluent role models are pimps and other underworld agents. Occupational crime helps the poor criminal to rationalize his criminal activities.

Trends in the Extent of Crime

Is crime increasing at an alarming rate? Are people more inclined to commit crimes today than they were in the past? The answers are not as apparent as one might think from media reports.

National statistics on crimes reported to the police are maintained by the FBI in *The Uniform Crime Reports (UCR)*. However, criminologists warn against accepting *UCR* statistics as the only criteria of the extent of crime, since:

1. A significant amount of crime — approximately 50 percent or more — is not reported to the police and thus even minor changes in reporting, recording, and classifying procedures can have significant effects on the published crime statistics and trends without any changes in the actual amount of crime being committed.
2. Increased expectations of the poor and minority groups for police protection has lead to crime being reported in districts where offenses were formerly ignored.
3. The increased professionalization of the police and the greater amount of hardware at their disposal has led to improved detection, reporting, and recording practices.
4. The nationwide trend toward increased insurance coverage has prompted more people to report offenses, particularly auto-related thefts.

The more serious the crime, the more likely that it will be reported.

Thus increases in reported crimes may be due more to police uncovering more and more previously unreported crime and to population growth than to relatively more criminal activity. Another factor leading to the increased number of crimes but not based on an increased propensity to commit crime is the greater number

of laws to be broken in our society. It is said that we are a nation of laws: if we want something done, we pass a law, and if we do not want something done, we pass a law. For example, over the past few decades, laws have been passed related to interstate commerce, minimum wages, disturbing the peace, traffic and parking ordinances, school attendance, registration of vehicles, tax assessment, employee rights, patent rights, etc.

Overall, there seems to be insubstantial evidence that crimes of violence are more widespread today than in the past. The riots in New York City during the 1850s were no less violent than those in Watts or Detroit in the 1960s. There were approximately 4,500 lynchings between 1882 and 1930, but very few reported since then.

Perhaps the most alarming trend in reported crime rates is that showing that young people commit a disproportionate share of crime. For example, it is estimated that:

- Fifteen to sixteen year olds have the highest crime rate of any group in the population.
- More crime is committed by children under fifteen than by adults over twenty-five.
- Approximately 50 percent of all crimes are committed by juveniles.
- One in nine youths (one in six males) is referred to juvenile court for nontraffic offenses before his eighteenth birthday.

The high rate of crime among youth, coupled with the fact that the percentage of youth in the population has been increasing faster than other age groups, helps to account for the overall increase in reported crime rates.

A large number of reported youth crimes are for status offenses which would not be considered crimes if committed by adults. It is estimated that approximately 23 percent of the boys and 70 percent of the girls incarcerated in 1975 were detained for status offenses. There is a trend toward increased formality in handling juvenile problems, with families and schools referring children to juvenile courts for "mischievous" deeds that in earlier times they might have handled themselves.

Not all juvenile offenders become adult offenders, but most adult offenders began their criminal careers as juveniles. Approximately 80 percent of all serious crime is committed by people convicted of earlier crimes, and their first crimes were most often committed as teenagers.

How extensive is criminal activity? No one knows. In recent years, a number of self-report studies have disclosed that close to 100 percent of all persons have committed some kind of

crime or offense. A substantial portion of these crimes could have resulted in incarceration had the offenders been apprehended and prosecuted. In a national survey of youth aged thirteen to sixteen, 99 percent confessed at least one offense for which they could have been adjudicated delinquents. Yet, only 9 percent of these self-reported crimes were detected by the police, only 4 percent resulted in a police record, and less than 2 percent led to an adjudication of delinquency. The crimes of those 9 percent who were detected represented less than 3 percent of the total chargeable acts of delinquency.³ As will be discussed later, there is a systematic bias in who gets caught and who ends up in jail which depends upon appearance, age, sex, socioeconomic class, race, and geographic location.

Who are the Victims of Crime?

Every American, including the offender, is the victim of crime. The direct and the indirect costs of crime are astronomical. Direct costs may include physical injury to one's self, family or friends, loss of property, and the psychological damage that results from prolonged fear and mistrust. The fear of crime impels increasing numbers of people to uproot and move to new, safer locales and to avoid using public facilities such as streets, parks, or libraries. Millions of dollars are spent annually for burglar alarm systems and other protective devices. Indirect costs include higher consumer prices as businesses pass their losses from theft, increased insurance premiums, burglar alarm systems, and payoffs to organized crime to the consumer. Taxes are increased to pay for an ever-growing criminal justice system (estimated to cost approximately \$4 billion per year) and to compensate for tax revenues lost because of organized and white-collar crimes. Then too, insurance premiums are increased for everyone, but particularly for those living in high crime neighborhoods.

In recent years there has been a reversal in the long standing trend of most crimes of violence being committed against acquaintances of the offenders. Based on a victimization study conducted by the Law Enforcement Assistance Administration⁴ it is now estimated that 66 percent of all personal crimes of violence (rape, robbery, and assault) are committed against strangers.

This same study indicated that the victimization rate for crimes of violence was about 34 per

1,000 persons, and that the victimization rate for personal larceny was about 93 per 1,000 persons. The victim of crime will most likely be:

- male,
- white, if the crime is personal larceny,
- black, if the crime is violent,
- poor (Persons in families with annual incomes of less than \$3,000 had the highest rate of victimization for crimes of violence, while persons in families with annual incomes of \$15,000 or more had the lowest victimization rate.), and
- less than thirty-five years old.

Most criminal victimization occurs between members of the same race.

Who Are the Offenders?

Everyone is an offender to some extent as is increasingly disclosed by self-report studies. As was previously discussed, offenders include prominent business persons, elected and appointed officials, gangsters or members of organized syndicates, social activists protesting perceived injustices, young children, and poor people: virtually, people from every walk of life.

The offenders processed — apprehended, arrested, prosecuted, and sentenced — through the criminal justice system are not nearly so diverse as the general population of offenders. The typical adult offender confined in an institution is likely to be⁵:

- a school drop out with 8.6 years of schooling as compared to 10.6 years in the general population,
- from a broken home,
- mildly to severely retarded with an average IQ of 84,
- functioning at the fifth grade level,
- poor and unemployed,
- when employed working at a low status occupation,
- a prior "system offender," i.e., to have had an earlier criminal record, and
- over twenty-four years of age.

From a psychological standpoint, this typical offender could be described as being insecure with a low self image and little self-discipline. Since such a small proportion of crime is reported and cleared through arrests, apprehended offenders often see their problems as bad luck in a country where "everyone else" gets away with it. A determining factor in the typical "system offender" is the offender's social class.

Social Class and Crime

The values most protected by criminal statutes and the criminal justice system are predominantly middle-class ones relating to the right to have and to hold property, and to the dignity of the individual. Such class values as fighting prowess, the related right to physically punish others for offensive remarks and actions, and the right to wander about without funds are not as well protected by criminal statutes. In many respects, we seem to expect those from lower socioeconomic strata to accept and respect middle-class values before they have the power, the position, and the property on which those values are based.

The entire criminal justice system from law-makers to parole boards is controlled by middle-class citizens. Thus it should not be surprising that the system is clearly oriented toward middle-class interests, and that the great majority of offenders who are apprehended, arrested, tried, and convicted are members of the lower class. At each stage in the justice process, middle-class people are screened out. Acts committed by lower-class persons are labeled crime because criminal justice officials are oriented to deal with members of that class as potential criminals, while the same behavior is frequently shrugged off as "sowing of wild oats" or "business is business" if perpetrated by members of the middle or upper classes. In juvenile courts, poor home conditions are a primary reason for a commitment sentence regardless of whether the home conditions were clearly established as a determining factor in the commission of the offense. Thus two children apprehended for the same offense are frequently handled differently, with the child from the "good" home going back to his parents and the child from the "bad" home going to the training school. Middle-class citizens help to prevent other middle-class citizens from having initial contacts with the police by their reluctance to report the criminal activities of neighbors, friends, and the relatives of other "good" citizens. On those occasions when such crimes are reported, one concerned phone call from a member of the bereaved family of the offender is frequently all that is needed for the charges to be dropped.

The official criminal justice position is that persons are believed innocent until proven guilty in a court of law and that indigents have the right to court-appointed legal counsel. Yet, it is widely recognized that public defenders and/or court-appointed attorneys frequently do

not have the time, expertise, or interests to adequately defend their clients. Accordingly they often urge the accused to plead guilty as charged or guilty to a lesser charge. On the other hand, the professional criminal and the white collar offender assure themselves of the full benefits of legal protection through their ability to secure the best available attorneys. Not surprisingly, the poor, the minority group member, the child, the immigrant, the migrant worker, and the mentally disturbed or retarded person are more likely to be adjudicated guilty, and to receive a stiffer penalty not only because their crimes seem more fearful to the middle class, but also because of their lack of knowledge about, ability to afford, and determination to insist upon their legal rights and protections.

What are the Causes of Crime?

Crime has many faces. There are many types and levels of crime. Accordingly, it is unlikely that there are one, two, or a few causes of crime. Rather crime is rooted in an amalgam of conditions — environmental, familial, and personal ones. The prominence of any one of the factors associated with crime is likely to vary over time both on the societal level and with any one individual.

Since the conditions influencing crime are so varied, complex, and interrelated, criminologists have not been able to develop clear-cut methods to predict that an individual will commit a specific type of crime if certain types of conditions exist. Thus discussions on the causes of crime are speculative. However, many studies have established correlations between official criminal behavior and such conditions as unemployment, low educational levels, bad family conditions, etc. If the conditions highly correlated with crime exist prior to the commission of the criminal act, and if these conditions are greater for offenders than with the general population, we may infer that they influence the occurrence of crime.

Most studies attempting to isolate the causes of crime have been restricted to those offenders who have been apprehended, arrested, prosecuted, and incarcerated. Thus, our knowledge is largely limited to conditions affecting the poor not the more affluent offenders. The more difficult, disturbing question of why people with better opportunities for creating decent lives for themselves take property belonging to others remains largely unexplored.

Models for Crime

We are deluged daily with models and examples of violence and crime. Countless children grow up in homes where they, their mothers, or others are abused and beaten by other family members. Children from both affluent and poor homes see their parents' disrespect for the law through their attitudes toward the police, glove compartments stashed with parking tickets, speeding and avoiding the "smokies" with their CB radios, income tax evasions, fraudulent insurance claims, and the countless other ways that the average "law-abiding" citizen breaks the law. In addition, television provides a steady and exciting diet of guns and gore.

As they grow older, children, along with their parents, see the corruption of community, state, and national leaders go unpunished or underpunished. They perceive corporations and government agencies as rip-off artists. While the apprehension and punishment of white-collar criminals has increased in recent years, the publicity given to governmental and corporate wrongdoing seems to have temporarily increased cynicism rather than led to an increased respect for the law.

The models for crime are much more pervasive in the poor neighborhood than in the suburb. In the ghettos, children see their parents' inability to enforce their rights against insensitive landlords or against the construction contractor who swindled them out of the cost of new roofing. They see their friends making more money in one night stripping cars than they make in a week washing them. Those with a desire for upward mobility, often envy and attempt to model the more affluent people in their neighborhoods. While in some places, lawyers, doctors, and other prominent individuals provide the success image, in the ghetto the only models of affluence are likely to be the pimps, the pushers, or the hustlers.

The Family

The family unit is the basic socializing institution of society. Parents are the first teachers. While peer groups, a bad neighborhood, school, official corruption, and other factors may later contribute to the process, parents set the mold, either through action or inaction. Most authorities agree that children in trouble come from parents in trouble.

Sheldon and Eleanor Glueck, a highly regarded husband and wife criminologist team,

have done extensive research on the family lives of delinquents as compared to nondelinquents. They have found that⁶:

- Family pathology (delinquent, alcoholic, or emotionally disturbed parents) is highly correlated with juvenile delinquency.
- The consistency, fairness, and strictness of parental discipline is the most important family variable related to juvenile delinquency. The Gluecks found that lax and erratic disciplinary techniques identified a higher percentage of delinquents than did overstrict techniques, and that firm but kindly discipline was practiced much more frequently by the parents of nondelinquents. Later studies confirmed that consistency in discipline by both parents was more important than whether the discipline was punitive or love-oriented.
- Parental affection is significantly related to delinquency. In their largest study the Gluecks found that 80.7 percent of the nondelinquents but only 40.2 percent of the delinquents had affectionate fathers.

Past studies have shown that delinquent children were more likely to come from one parent homes than were nondelinquents. The increase in divorce rates and single parenthood among the middle class may be a factor in the rising delinquency rates for middle-class children. As industrialization and affluence have increased, so have divorce, separation, and mobility, thereby isolating children from their parents and other relatives — grandparents, aunts, uncles, and cousins. This reduces family-life time and family control or authority over children, and consequently the nourishment, support, guidance, and discipline that youth of bygone generations received from their families now has to come from other sources — peers, the streets, television, etc.

The Peer Group — Leisure Time and Boredom

The process of growing up is very prolonged in America. Urban living and modern conveniences have greatly expanded the leisure time of youth and adults. Much of this leisure time is spent in activities outside of family life. As youth have increasingly turned to peers for diversion, acceptance, and support, a youth culture with a distinctive jargon, mode of dress, and music has arisen.

In poor neighborhoods, crowded living conditions push the youth outside, and lacking recreational facilities, streets and alleys become the playgrounds.

Both poor and affluent youth typically commit crimes in the company of others. Crime as a recreational perversion thrives on peer support. Neglect, anxiety, family breakup, feelings of alienation and loneliness in large, impersonal high schools, boredom, and lack of identity or sense of having a place and a future in a complex world — all of these contribute to the crimes of both the affluent and the poor.

Antiquated and Unresponsive Societal Institutions

As society's institutions — schools, churches, laws, municipal, state, and federal agencies or services — become archaic, inaccessible, dysfunctional, or unresponsive to changing and emerging needs, people become alienated and frustrated with them. This, in turn, diminishes respect for government and laws, and increases crime as citizens attempt to seek redress and to fulfill their needs through extra-legal means. When, for example, widely desired goods and services are outlawed, organized crime will move to provide them — at an added cost.

The school is particularly important since most children spend more time in it than in any institution, except the family. Many school practices may help promote the animosities, frustrations, and despair that lead youth to violence. School curricula frequently fail to reflect the life experiences and expectancies of many youth. Secondary school programs are often geared to the college-bound youth although only a minority of all youth complete college. Vocational programs are frequently held in disdain by the majority of school personnel. The isolation of schools from other areas of community life — business, government, social organization, etc. — heightens their perceived irrelevance.

Overemphasis on grades and competition creates conditions for failure — particularly for the disadvantaged youth who is expected to compete against advantaged students. Repeated failure results in feelings of hopelessness, hostility, and alienation — negative self-images conducive to delinquent behavior and violence. Studies have shown that the self-fulfilling prophecy operates in many classrooms. Teachers frequently expect students of lower socioeconomic background to do poorly and they do.

Economic Conditions

A majority of the apprehended and “processed” offenders are poor, while the economically dis-

advantaged are a minority of the total work force. Statistically, the poor are much more likely to commit crimes than those with more success in the labor market, and there is a high correlation between unemployment rates and crime rates. This along with the fact that the great majority of crimes involve property — attempting to take something of economic value — is strong circumstantial evidence that deprivation is a root cause of crime. Even in violent crimes against people, the violence is frequently only incidental to attempts to get property.

Opportunities for work are inequitably distributed among various groups. Youth, minorities, residents of depressed urban areas, and others with fewer opportunities to develop saleable work skills or to obtain educational credentials have higher unemployment rates, lower earnings, and fewer opportunities for advancement when employed than the rest of the community. They are, as the saying goes, the last to be hired and the first to be laid-off. These same groups also comprise a greater proportion of the criminal statistics than do other community residents.

Affluence and the Desire of the Haves and the Have Nots to Have More

Overall ours is an affluent society. As affluence increases one would expect crime to decrease. However, affluence is relative and while many people have high expectations, the ability to legally compete for material goods is widely disparate. Advertising creates “perceived needs” among the general public for the latest consumer goods much faster than our economic system expands the ability to purchase such goods. Those unable to buy — or obtain through credit — these “needed” products are left frustrated and further alienated from the mainstream.

The Criminal Justice System

There is reason to believe that the criminal justice system, which is supposed to prevent and control crime, contributes to crime. As has been noted, self-report studies indicate that a majority of juveniles commit offenses. Only a small minority of them are apprehended and processed through the system, but of those who are, a majority commit subsequent offenses of a more serious nature and are again processed through the system.

The problem is even more shattering when considering status offenses which would not be considered crimes if committed by adults.

Children are labeled delinquent and criminal for essentially noncriminal behavior and thrown into contact with serious offenders. Because of the stigma attached to such labels, first offenders may come to view themselves as worse than they really are. Subsequently they are subjected to unjustifiably close scrutiny by police authorities and by their humiliated families. Such youngsters may find it impossible to overcome their reputations, and their later lives may exemplify the self-fulfilling prophecy. The inhumanity of labeling is even more profound when such titles as "pre-delinquent" or "troublemaker" are attributed to youth who have committed no offenses but are from neighborhoods, families, or social conditions considered to be delinquency prone.

Prisons and jails have been called "schools for crime." In many instances, first offenders and minor offenders are thrown in with hardened, career criminals whose cynicism rubs off on them, and who teach them how to beat the system. When released from prison, chances for obtaining meaningful employment are much slimmer than before. Many public and private employment sources do not hire ex-offenders. Ex-offenders frequently find that the only people with whom they can socialize are other ex-offenders.

In short, people with limited opportunities to live, learn, and work productively will commit crimes, get caught, and end up in environments that have the effect of providing fewer rather than more opportunities to develop needed skills and knowledge. So far as these processes limit the life options of offenders, they tend to insure recommission of crimes.⁷

The Public's Attitude Toward Crime

Attitudes are mental responses, favorable or unfavorable, to persons, groups, ideas, or situations. They stem from a variety of sources, both recognized and unrecognized, but frequently operate on an unconscious level. While attitudes are learned — we are not born with them — once acquired they resist modification no matter how faulty their initial foundations. Some attitudes are based on personal, sometimes traumatic, experiences; others are based upon emotions, general values or philosophies toward the "nature of man" (are people intrinsically good or bad?), or objective study. Most, however, stem from a combination of factors.

There are many attitudes toward crime; the subject is a volatile one. Some people feel that

high rates of violent crime result from moral decay, from an overly lax and permissive society. Others believe that there is simple solution — a pill or panacea — for the problem of crime, and that if criminal justice officials were doing their jobs correctly, the crime problem would abate.

The public as a whole considers crime as a major problem and the major problem facing cities. In a Gallup Poll conducted in July 1975 on the top problems facing cities, problem categories were ranked as follows:

Rank	Problem Categories	%*
1	Crime	21
2	Unemployment	11
3	Transportation/Traffic	7
4	Education	6
5	Poor Housing/Slums	5
6	High Cost of Living	5
7	Drugs	4
8	High Taxes	4
9	Unsanitary Conditions	3
10	Ineffective Police	3
11	Juvenile Delinquency	3
12	Lack of Civic Pride	3
13	Other Problems	28
14	Don't Know/No Answer	5

*Total adds to more than 100 percent since some persons named more than one problem. Gallup Poll, July 1975.

The irony of the public's attitude in this survey, as in many others, is that while crime was ranked as the number one problem, juvenile delinquency, a major source of crime, received a low rating. Many of the problems associated with crime rates — unemployment, education, slums, drugs, etc. — were also perceived as being less significant than their derivative: crime.

The mass media — like parents, relatives, and friends — help to mold our attitudes, beliefs, fears, and emotions. Newspapers, television, and radio daily alert us to the occurrence of the most newsworthy crimes; thus, much of our knowledge of crime is restricted to crimes of violence. As one result of this, the most intense fear of many people is that of being attacked by a stranger when out of their homes alone. Unless one lives in a slum, this fear is unrealistic. The risk of personal injury from other daily activities is much greater than that of being the victim of a violent crime.

Traditionally in America, crime has been considered an individual problem to be resolved through preoccupation with individual offenses

and offenders. Howard James, Pulitzer-Prize-winning reporter, has termed this the crabgrass approach: we continue to fight crime one root (offense) at a time, never really trying to eliminate the seeds (poverty, corruption, etc.) before they sprout and multiply.

Public attitudes on "law and order" are important because they hold the key to future policies and procedures for preventing and controlling crime. Except during revolutionary periods, maintaining order is a simple, mechanical process under totalitarianism where the government is all powerful and the people powerless. Our form of government, however, is undergirded by laws based upon the principle of individual rights and the related values of equality of opportunity, freedom, and humanitarianism. Constitutional safeguards for these rights, reinforced by U.S. Supreme Court decisions protecting the rights of offenders and accused persons to due process of the law, make the problem of crime control more difficult. A delicate balance between society's need for protection from deviant behavior and the protection of individuals from unfair harassment by government must be constantly maintained. Because of widely pub-

licized reports of higher crime rates and the fear of violent crime that they engender, various segments of the public have adopted a "let's get tough philosophy" with a hostility comparable to that of the violent criminal offender. Further, as Harold Dewolf points out, "our vindictive anger against the criminal offenders is largely frustrated by the escape of most people who have committed criminal acts. When less than one-eighth of them are caught and far fewer can be successfully prosecuted, we are left to vent our anger against those few . . . Is it right? Is public vengeance against the many criminals, in high places and low, properly taken out on the small sample arrested, prosecuted, and convicted?"⁸ Unless we are to become a government of men rather than of laws, a government in which men choose who will be arrested and who will remain free, our approach to crime control must be that of insuring individual rights to all citizens. The main purpose of law, the protection of individual liberties, will always make crime control more difficult. Fortunately, crime prevention — the *raison d'être* for concern with crime control — is supported not hindered by respect for the individual.

Helpful Information Sources

This chapter has only skimmed the surface of the issues and problems related to crime and delinquency. For more detailed information, see some of the periodicals and consult the reference services of some of the organizations listed in the resource chapter. The following publications provide thoughtful analyses of many of the issues of criminal delinquency.

Cohen, A. K. *Deviance and Control*. Englewood Cliffs, N.J.: Prentice-Hall, Inc., 1966.

Cressy, Donald and Ward, David. *Delinquency, Crime and Social Process*. New York: Harper and Row, 1969.

Dewolf, L. Harold. *What Americans Should Do About Crime*. New York: Harper and Row, 1976.

Geis, Gilbert, *Not the Law's Business?* Washington, D.C.: National Institute of Mental Health, 1972.

National Advisory Commission on Criminal Justice Standards and Goals. *Community Crime Prevention*. Washington, D.C.: U.S. Government Printing Office, 1973. Stock Number 2700-00181.

Quinney, Richard. *The Social Reality of Crime*. New York: Little, Brown, 1970.

Reckless, Walter. *The Crime Problem*. 5th edition. New York: Appleton-Century-Crafts, 1973.

Skeptic. "A Special Issue on the Problem of Crime," Special Issue Number 4, November-December, 1974.

NOTES

General: Many of the ideas presented in this chapter came from: Albert Schaffer, Ruth Schaffer, Gladys Arenholz, and Charles Prigmore, *Understanding Social Problems* (Columbus, Ohio: Charles E. Merrill Publishing Company, 1970), Ch. 6.

1. Harold L. Dewolf, *What Americans Should Do About Crime* (New York: Harper and Row, 1976).
2. Ramsey Clark, *Crime in America: Observations on Its Nature, Causes, Prevention and Control* (New York: Simon and Schuster, 1970), Ch. 2.
3. Jay R. Williams and Martin Gold, "From Delinquent Behavior to Official Delinquency," *Social Problems* (Volume 20, No. 2, 1970), pp. 209-229.
4. National Criminal Justice Information and Statistical Service, *Crime Victimization in the United States: Advanced Report* (Washington, D.C.: U.S. Department of Justice, L.E.A.A., 1975).
5. Georgia Committee of the National Council on Crime and Delinquency, "Speakers Source Kit on Crime and Delinquency" (Athens, Ga.: Institute of Government, University of Georgia and WAGA-TV, Atlanta, Ga. 1976).
6. Sheldon Glueck and Eleanor T. Glueck, *Family Environment and Delinquency* (London: Routledge and Kegan Paul, 1962).
7. Education Commission of the States, Correctional Education Project, *Correctional Education: A Forgotten Human Service* (Denver, CO: Education Commission of the States, 1976), p. 5.
8. Dewolf, p. 9.

Chapter 2

The Criminal Justice System

Overview

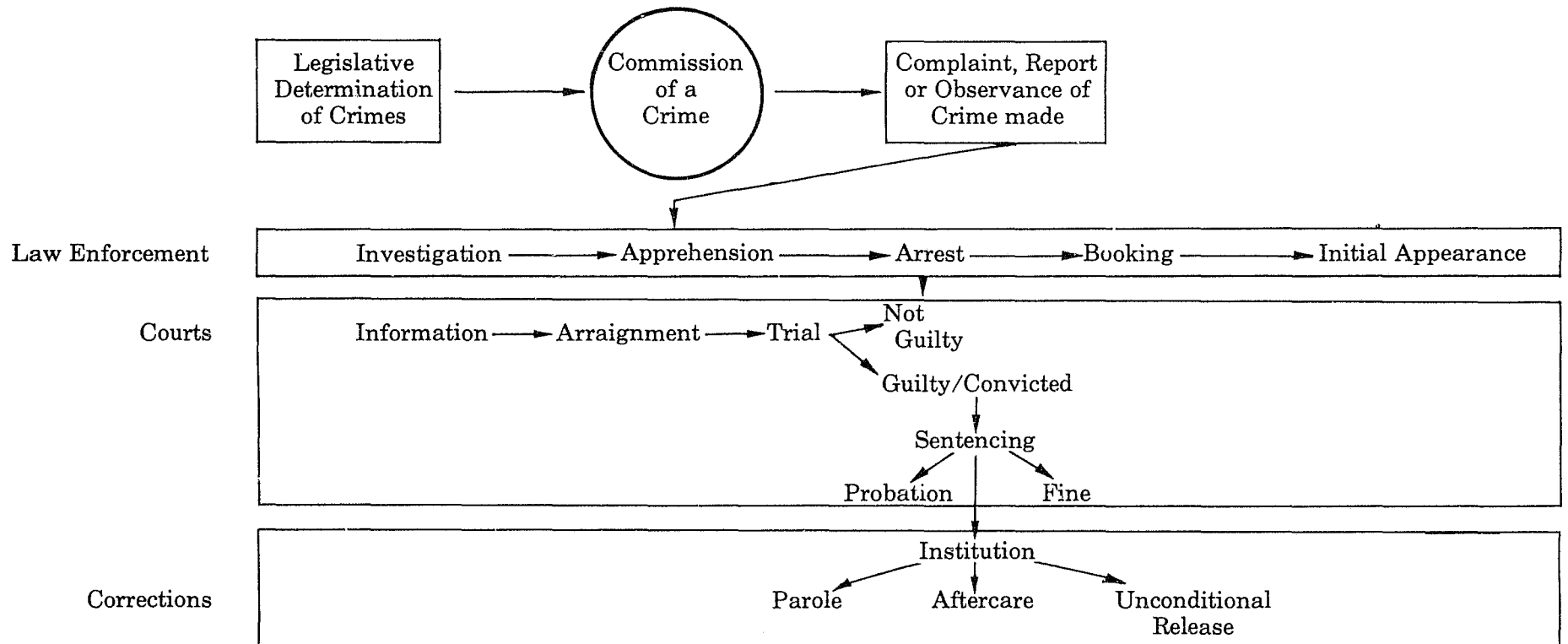
The criminal justice system consists of many stages and components which vary according to local conditions; thus the actual process must be learned on the local level. General information on the "typical" criminal justice system presented here cannot, of necessity, include discussions of the innovative practices now being used in some locales nor describe the many variations in detail. References for further reading are provided at the end of the chapter; an overview of the federal perspective on criminal justice issues is presented as Appendix I and a glossary of criminal justice terms is presented as Appendix II. In simplified terms, the components of the system are:

1. Local, state, and national legislative bodies determine what crime is and how different crimes are to be handled through the passage of criminal codes, and statutes or laws. Most codes provide for some range of judicial discretion in the handling of violations.
2. These laws are enforced by police, sheriffs, and other law enforcement personnel. When a crime is reported, the primary role of the law enforcement component is to apprehend, arrest, and book the person(s) who, in their professional opinion, committed the crime.
3. Those arrested are arraigned. Prosecutors decide which apprehended offenders will be tried and determine what charges will be alleged. In a preliminary hearing (arraignment), a judge hears the indictment (formal accusation) which the prosecutor brings against the defendant and decides if enough evidence exists to hold and try the accused.
4. A trial in a court of law is held to determine

the guilt or innocence of the accused. If the defendant is found guilty, the court imposes a sentence based upon the penalty provisions of the code which the offense violated. The court may request a pre-sentence investigative report to assist in determining the nature and extent of the sentence within the discretionary provisions of the code. Alternative penalties generally include probation, fines, and incarceration. The accused may appeal the verdict.

5. If sentenced to probation (supervised release to the community), the offender may later be sentenced to confinement for violating a condition of probation. In some jurisdictions probation services are administered by the court and in others by the corrections component.
6. If the sentence includes confinement, the convicted person then comes under the jurisdiction of the corrections component which has the responsibility of safe-keeping and rehabilitating offenders. A sentence of confinement may be to a jail, a maximum, medium, or minimum security prison, or a residential treatment center.
7. Parole (supervised release of prisoners from confinement but not from legal custody) may be granted anytime after the minimum and before the maximum time fixed in the sentence has been served by the prisoner. Parole authority is typically invested in full-time institutional staff for juveniles and in independent boards for adults.

The major elements in the criminal process may be illustrated as shown on the following page.



Fragmentation

As presented thus far, the series of processes labeled the criminal justice system would appear to be an integrated approach to handling criminal offenses. In reality, each criminal justice agency functions autonomously as if it were an island unto itself. Fragmentation, duplication, decentralization, and lack of coordination and cooperation abound, and the criminal justice process is frequently referred to as a "non-system."

It is true, however, that the various criminal justice components or activities are so interdependent that what happens in one component ripples throughout the entire system influencing other components. Chain reactions are inevitable. For example, greater law enforcement efficiency leading to more arrests for reported crimes will further overburden the judicial process and perhaps lead to greater delays and inefficiencies in the courtroom. If the courts improve their efficiency and provide speedier trials, this might lead to further overcrowding of correctional facilities, which in turn might lead to less rehabilitation and the return of offenders to the streets for another round of crime. There are many examples of the intertwined nature of criminal justice problems: in recent years, courts have found the conditions of some local jail lock-ups and prisons so bad as to constitute cruel and unusual punishment; in some instances, refusing to incarcerate convicted offenders in such facilities, they have increased the caseloads of probation officers unable to effectively supervise the many offenders already assigned to them; this in turn leads to more unsupervised offenders on the streets, creating a potential problem for the police.

Thus, introducing changes and innovations in one aspect of the system frequently results in adverse developments in other components; likewise the success of programs and changes planned by one component frequently depends upon the cooperation of other components. Obviously, while each component is concentrating upon improving the performance of its own specialized function, it must also be aware of its interrelationships with other components. Yet, police, court, and correctional personnel rarely attempt to coordinate their efforts. There is often a divisiveness, a bitterness, between them, with each feeling that its major problems result from the incompetence or the misguided philosophy of other criminal justice agencies. This is understandable since system representatives — attorneys, police, and

correctional officers — frequently have diverse on-the-job experiences, constitutional responsibilities, educational backgrounds, professional objectives, and social class origins.

Although it is generally agreed that the overall purpose of criminal law administration is to reduce crime through the use of procedures consistent with the protection of individual liberties, component personnel disagree on the specific means of achieving this goal and on the relative priorities when one set of means conflicts with another. In addition, crime is an emotional issue, and there is frequently intense disagreement between police, court, and correctional personnel as to its causes and solutions. As an example of the frustration and hostility that can stem from the lack of understanding and cooperation between the components, consider the police officer who, discouraged by the light sentences given to offenders, by the speedy return of offenders to the streets, and by the time he wastes waiting in courts to testify, begins practicing selective law enforcement by arresting only those whose offenses are serious enough to justify the trouble of going to court. On occasion, frustration with the other elements may lead the police to act as judge, jury, and correctional official, which in turn may promote more crime because of increased public disrespect for law enforcement.

The diversity and fragmentation of the American system of criminal justice is highlighted by the large number of independent agencies each of which is responsible for some aspect of the crime problem. According to a 1974 survey,¹ there were over 57,575 public agencies in the criminal justice system that were administered by state or local governments. Costly duplication abounds both between and within the components. One apprehended offender typically has contact with fifteen or more people, representing law enforcement, courts, prosecution, and corrections.

The contradictions within the system reflect the contradictions within the public's attitudes.

The only obstacle standing in the way of a more effective criminal justice system seems to be society. Because we don't really understand what causes crime, we don't understand how to best deal with it. We are torn between compassion and retribution, between our intellectually perceived desire to prevent crime and our emotionally felt need to control it and protect ourselves from it. Our criminal justice system may not work very well, but it appears to reflect not only the state of our knowledge but our schizophrenia.²

Summary and Recommendations

Since societal responsibility for reducing crime has not been assigned to one but to many agencies, major policy questions in criminal justice require agreement and cooperation between police, courts, corrections, and other agencies. The National Advisory Commission on Criminal Justice Standards and Goals (hereafter referred to as the Commission) has outlined numerous ways to increase cooperation and to reduce inconsistencies in the criminal justice system. Based on the research and thinking of experts, the Commission prepared six reports³ of recommendations, standards, and goals with detailed commentaries on the major criminal justice issues and alternatives. The three reports relating to crime reduction and the criminal justice system in general are discussed below. The reports specifically addressed to the police, the courts, and corrections are discussed under later headings with the same titles. A summary or overview of the other reports is presented in *A National Strategy to Reduce Crime*. The Commission identified four areas for priority action: preventing juvenile delinquency, improving the delivery of social services, reducing delays in the criminal justice process, and increasing citizen participation.

The *Criminal Justice System* report specifically addresses the fragmentation of the criminal justice system, as discussed in this chapter, and suggests ways to increase cooperation and reduce conflict between the system components. Although much of this report is devoted to developing computerized information systems, it also includes a chapter on criminal code revision and an appendix on "Problems of Encouraging Change in Criminal Justice Agencies."

The *Community Crime Prevention* report discusses what citizens, their organizations, and their local general government officials can do to reduce crime. Key recommendations include:

- Increased citizen contribution to crime prevention by making homes and businesses more secure, by participating in police-community programs, and by working with youth;
- Expanded public and private employment opportunities, and elimination of unnecessary restrictions on hiring ex-offenders;
- Establishment of and citizen support for youth services bureaus to improve the delivery of social services to young people;
- Provision of individualized treatment for drug offenders and abusers;

- Provision of statewide capability for overseeing and investigating financing of political campaigns; and
- Establishment of a statewide investigation and prosecution capability to deal with corruption in government.

In the *Community Crime Prevention* report separate chapters are devoted to ways to improve the delivery of different social services including such topics as models for youth service bureaus, educational programs, programs for employment, and drug abuse treatment programs. In addition to providing recommendations for improvement, many of these chapters provide insightful analyses of the causes of or relationships between crime and the target issue, e.g., unresponsive government agencies, unemployment, drug abuse.

The following pages take a closer — but still abbreviated — look at the current problems and the proposed standards or changes for criminal codes, police, courts, and corrections. These may be suggestive of needed citizen-encouraged or -sponsored programs and activities.

Criminal Codes/Statutes

At every session of Congress and the state legislatures, new legislation pertaining to the criminal justice system and crime is considered. In enacting laws, these legislative bodies define what acts are criminal and what behavior is delinquent. Acts defined as crimes are included within either the state's criminal code, its juvenile code, or the penalty clauses of regulatory legislation.

Most codes have been constructed in a piecemeal fashion by successive legislatures that fix punishment for new crimes and adjust penalties for existing crimes through separate sentencing provisions for each offense. Because criminal statutes are frequently after-the-fact responses to specific cases, they frequently overlap, carry inconsistent punishments, and use words inconsistently. Often the enactment of legislation defining a specific act as a crime has been seen as a solution to a social problem, ignoring the fact that crime itself is one of our major social problems.

Over the years, state legislatures have put an enormous number of acts which are not within themselves injurious to the lives or property of others into criminal statutes. The Constitutional doctrine of separation of church and state has been blurred by the passage of "blue laws" which attempt to project the moral codes and religious beliefs of lawmakers and their con-

stituents by criminalizing behavior that contradicts them. More actions are legally prohibited on Sunday than on any other day of the week. These efforts, which might be termed the criminal justice system's overreach, include a wide range of victimless crimes, e.g., vagrancy, prostitution, possession and use of marijuana. In 1971, 44 percent of all arrests were for crimes without victims. As pointed out in Chapter 1, children are subjected to an ever broader expanse of prohibitions than are adults because of the status offense category of crimes.

By defining so many acts as criminal, serious crime is protected since the system must spend so much of its resources handling relatively minor offenses. Even more significantly, by defining social problems as criminal problems, those whose behavior could be more effectively handled by other agencies receive a criminal record — or as with juveniles, a delinquency label — rather than the services that they need. For example, alcoholism is a social problem; defining public drunkenness as a crime adds a new dimension but does not address the problem. Yet in 1974, the FBI reported an estimated 1.3 million arrests for public drunkenness, constituting approximately 16.4 percent of all arrests.

Victimless crimes, status offenses, and attempts to enforce morals are not the only categories of "over criminalization." There is another category, which might be labeled "just plain nonsense laws," that includes such prohibitions as the wearing of American Legion emblems by nonmembers.

Not only do criminal codes pose problems in their substantive definitions of crimes, but procedural law is also in need of reform. Sentences are harsher in the United States than in any other Western country. Sentencing disparities are widespread. While some inequities result from differences between sentencing judges, others reflect piecemeal legislation.

In Colorado, for example, a legislative inquiry revealed the following provisions: one convicted of first degree murder must serve ten years before becoming eligible for parole; one convicted of a lesser degree of murder may be forced to serve fifteen years or more. Destruction of a house with fire is punishable by a maximum of twenty years; destruction of the same house with explosives carries a ten-year maximum. In Iowa, the burning of an empty, isolated dwelling may lead to a twenty-year sentence, while the burning of a church or school carries only a ten-year maximum. In California a boy who breaks into a passenger car to steal the contents

of the glove compartment subjects himself to a maximum of fifteen years; if he steals the entire car, he could only be sentenced to ten years.⁴

A state's criminal justice system may be a model of contemporary efficiency, but if its basic criminal law is the outmoded product of an earlier generation, success cannot be achieved. The Commission urges criminal code reform and revision, in particular:

- The decriminalization of drunkenness as a crime, the repeal of vagrancy laws, and the administrative disposition of minor traffic offenses;
- Either the decriminalization or the removal of incarceration as a sentencing alternative for gambling, marijuana use, pornography, prostitution, and sexual acts between consenting adults in private. The possible relationships of prostitution and gambling with organized crime are noted, and states are urged to take appropriate safeguards. History is replete with examples of the ineffectiveness of the threat of punishment, including incarceration, to enforce prohibition of products or services widely desired by the public — liquor and marijuana;
- Removal of all status offenses from juvenile codes; and
- Adopting a sentencing structure which is based on a five-year maximum sentence and no minimum sentence unless the offender is a persistent offender, a professional criminal, or a dangerous offender in which case maximum sentences might range up to twenty-five years. A persistent offender is defined as one who has been convicted of a third felony, two of them within the last five years. A professional criminal is one convicted of a felony committed as part of a continuing illegal business. A dangerous offender is one who shows a pattern of repetitive behavior posing a serious threat to the safety of others or who commits a particularly heinous offense.

For those jurisdictions which have not revised their criminal codes within the past ten years, the Commission urges complete and thorough revision including, where necessary, a revamped penalty structure. The Commission's *Criminal Justice System* report includes a chapter on code revision with eight standards intended to eliminate some of the problems that have beset previous code revision projects. Model codes have been prepared and supported by the American Justice Institute, the National Council on Crime and Delinquency, the American Bar Association, and other groups.

As will be seen in the following sections, much of the reform and improvements recommended for other elements of the criminal justice system depend upon legislative leadership. Both new and repealed legislation is needed for progress, but legislative action depends upon public support. As it should be, the future of criminal justice lies in the hands of the public.

Police⁵

The nation's police forces march to many drummers. Mayors and other public officials order them to crack down on crime and offenders, while the courts demand that they follow the law and respect the rights of the individual. Some citizens charge them with brutality, while others insist that they coddle offenders. When faced with trouble, when victimized, the public expects a quick, professional police response. Other times, they consider the police as nuisances.

Organization

Presently there are over 20,000 law enforcement agencies in the United States. The great majority of these operate on the local level, with approximately 3,114 sheriff's departments on the county level and 15,000 police departments on the city, town, or village levels. The size of these agencies varies from one person serving on a part-time basis to over 35,000 officers.

One of the major problems facing law enforcement is the fragmentation that results from the large number of uncoordinated local governments and law enforcement agencies. In most counties law enforcement systems are independently operated by both the county and the city governments with each performing essentially the same duties. There is very little cooperation between many closely situated police departments separated by artificial political boundaries. Overlapping and uncoordinated law enforcement agencies result in waste, inefficiency, and duplication in communication systems, jail facilities, record keeping, criminal intelligence, recruitment, purchasing, etc.

Recognizing that expensive duplication of services prevents the cooperative procurement of sophisticated services such as training facilities, research, speedy communications, laboratory services, etc. which no department could afford alone, there has been a movement toward consolidation in many jurisdictions.

Duties

Much of the typical police person's time is spent in activities with little or no direct relationship to law enforcement or crime detection. In most jurisdictions, law enforcement agencies are responsible for operating local jails and detention centers, which is considered by most authorities to be a corrections role. It is also commonplace to assign trained officers to such duties as

- dog catchers,
- typists and clerks,
- court bailiffs,
- drivers for municipal ambulance services,
- licensers of dogs, cats, bicycles, taxis, bars, entertainers,
- street painters and traffic light repairers,
- funeral escorts,
- chauffeurs for municipal and state office holders and visiting officials, and
- traffic directors.

While most of these functions may be necessary to community life, it may be a mistake to consider them part of the law enforcement process. Only about 20 percent of reported crime is cleared by arrest. This low arrest percentage may in part result from the time police must devote to noncrime-related activities as well as that spent in apprehending persons charged with victimless crimes.

Community Relations

Police-community relations is frequently ranked, by police and citizens alike, as the top problem inhibiting effective crime control and crime prevention. Police are the most readily visible authority figures and thus the targets for general public dissatisfaction with the power structure, bad housing, poor education, unemployment, discrimination, or general abuse. They also receive a disproportionate share of the blame for the inequities of the entire criminal justice system. The lack of formal and safe procedures for citizens to file complaints and grievances against the police helps to reinforce public distrust of them. Motorized patrolling allows the police few opportunities to make personal contacts with the people on their beats.

Minority groups and youth frequently feel that they have less influence on law enforcement policies and practices than do other community residents and that the police do not respect them as citizens. The low percentage of minority members and women on police forces inhibits police understanding of attitudes

and problems faced by these groups.

To improve public cooperation and support, some authorities believe that the police should be extensively involved in activities that the public regard as being done for, not to, them. Thus some of the noncrime-related activities previously discussed may be necessary to good police-community relations.

Work Structure and Personnel Policies

The work structure and personnel policies of many police departments are not based on sound management practices geared to the most effective use of personnel. Recruitment, training, salary, and promotion practices frequently presume that all police tasks are comparable and require the same skill and physical prowess. This expectation that all officers be able to perform the most complex and the most menial tasks has serious ramifications. Not only does it decrease the attractiveness of police work to those with superior qualifications, but it eliminates those who might not be suited for some police roles but have unique qualifications for other tasks. For example, someone with a special ability to communicate with minority members might be an excellent community relations officer even if he lacked the educational requirements of some other police tasks. Similarly, communication officers, property room officers, typists, and laboratory staff do not necessarily need to meet the same physical criteria — height, weight, age, and prowess — for officers on the beat. Lateral entry — except for directors, chiefs, and commissioners — is prohibited in many departments. This means that advanced appointments are restricted to personnel already within the department, and as a result police personnel are unable to transfer from one department to another without starting from the bottom again. Business, educational, and other societal institutions have for years adopted the policy that lateral entry is the key to bringing new blood into an organization, thereby benefiting from the training and experiences gained in other institutions.

Salaries and fringe benefits for law enforcement personnel lag behind those provided by other employers seeking people of the same abilities, age, education, and experiences. Promotion criteria frequently overemphasize crime control activities, e.g., number of tickets and arrests, while providing little recognition for peacekeeping and crime prevention efforts.

Deployment of law enforcement personnel to

meet the peak periods of criminal activity or demands for services is most frequently based on intuition rather than on systematic analyses, since many departments either lack the basic data or the capability to analyze crime data.

Summary and Recommendations

The interrelatedness of crimes and the mobility of offenders pose significant law enforcement problems. For example, where drug addiction leads to shoplifting, campaigns against shoplifting without countermeasures to deal with the problems of drug addiction may shift the crime problem from the stores to the streets. Concentrated enforcement to stop the resultant street crime in the city may push crime into the nearby suburbs.

The problems facing the police are multifold. Some stem from the activities and problems of other criminal justice components and some lead to problems in the other components. Professionalization of police work is needed but should not be equated with managerial efficiency. Law and order as conflicting goals will continue to make police tasks more difficult.

For a more in-depth discussion on the roadblocks facing the police, see the *Police* report prepared by the National Advisory Commission. As with the other reports, this one provides a detailed discussion of problem areas followed by recommendations and standards for improvement. The Commission's recommendations recognize the police as the primary force in preventing and reducing crime. Key recommendations include:

- enhancement of the patrol role;
- affirmative police action to divert public drunks and mental patients from the criminal justice system;
- increased employment and utilization of women, minorities, and civilians in police work;
- active crime prevention efforts by the police working with the community through a planned program of community relations;
- use of the police as the primary investigators for crimes which come to their attention;
- consolidation or elimination of police departments with fewer than ten full-time police officers;
- college education entrance requirements for employment of police officers;
- legislation authorizing police officers to obtain search warrants by telephone;
- continuing analysis of crime trends and

deployment of special units to react to developing crime trends;

- establishment of different classifications and pay levels within the basic patrol category; and
- development of units within police departments to work with prosecutors, courts, and corrections officials and to follow specific cases and individuals through the criminal justice system.

Courts

As both a participant in the criminal justice process and the supervisor of its practices, the courts have the final word on the determination of guilt or innocence, the degree of penalties handed out to the convicted, and the protection of human rights and due process. In the face of an overwhelming workload, the American criminal court system is plagued with fragmented and uncoordinated organization, antiquated managerial or administrative practices, and poorly selected, trained, and utilized personnel. The actual number of courts is not known. Operating at every level of government, the designations for criminal courts vary from state to state and from community to community, e.g., district, circuit, superior, quarter sessions, common pleas, juvenile, family, youth, county, domestic relations, municipal, magistrate, justice of the peace.

According to the National Advisory Commission, the criminal court system ideally should:

- swiftly determine the guilt or innocence of those who come before it;
- sentence guilty offenders in such a way that their rehabilitation is possible, and that by example others are deterred from committing crimes; and
- protect the rights of society and of the offender.

There seems to be no question that, except in isolated circumstances, the courts are not fulfilling these roles.

Delays in trials

A major problem is the excessive delay between arrest and trial. Delays in trials of a year or more are common in many states. Trial delays play a major role in jail overcrowding; according to the National Jail Census, of the 141,000 people in jail on a single day in mid 1972, 82,000 were being held awaiting some court action. Included in pretrial detention are not only murderers and robbers, but innocent people against whom charges are later dropped.

Of those who are ultimately found guilty, many are immediately released because they have served the required or more than the required sentence prior to their day in court.

The deterrent effect of a trial, particularly for those not detained between arrest and trial, decreases as the time between arrest and trial increases. Many dangerous offenders who make bail and are free for months or years until their trials sometimes commit additional crimes during the interim. During lengthy pretrial delays and numerous cancelled court appearances and adjournments, witnesses move, their memories lapse, evidence stales, victims become discouraged, and the police waste valuable time showing up needlessly for unconvened trials.

Delays result in part from the ever increasing volume of cases before the courts. Criminal courts hear thousands of cases stemming from alcoholism, drug addiction, mental illness, and victimless crimes. But volume alone has not led to the pervasive problems of trial delays. Court organization, the administration of individual courts, and the poor quality personnel play a significant role.

Bail

The courts determine who will remain in jail between arrest and trial through the process of setting bail, a monetary deposit to assure that defendants show up for their trials. Once the court sets the amount, a financially-able defendant may deal with a bail bondsman to obtain release. The bondsman financially guarantees the defendant's appearance in court for a fee, usually ranging from 10 to 20 percent of the bail set. But a defendant's ability to afford the bail bond premiums has been shown to have little relationship to whether he is likely to appear at trial or to commit future crimes between arrest and trial. Thus the bail system is increasingly attacked as one that primarily insures that the poor remain in jail, while the more affluent — or those with connections — are freed. For example, even very high bail does not prevent the release of professional criminals or members of organized crime, yet the likelihood that they will commit additional crimes is great. The bail practice transfers from the criminal justice system to the bondsman decisions on who will be free and who will be incarcerated while awaiting trial.

The costs for those who cannot post bail are high for defendants, their families, and the general public. Those in jail can't work, lose their income, and may permanently lose their

jobs; their families may be forced to seek public welfare; and the costs of detention (facility construction, food, utilities, personnel) are significant.

Studies show that the appearance of a defendant at his trial is more related to ties in the community than ability to post bail. Release on personal recognizance, assigning defendants to the custody of a person or organization, or releasing defendants during the day to work and confining them in the evening have been used as effective replacements for the bail system in some jurisdictions.

Sentencing

The inequities of the judicial process do not abate once a guilty verdict is delivered; sentencing disparities are commonplace. Since approximately 90 percent of those convicted of felonies and probably a greater percentage of misdemeanants plead guilty, the judicial determination of guilt is of importance only for a small minority of offenders. But sentencing is crucial to all offenders. Although as previously discussed, many states have ideologically inconsistent laws which handicap the courts, the imposition of unequal sentences for comparable offenses is of equal concern. It is not uncommon for judges sitting in the same courthouse to hand out alarmingly different sentences in what appear to be very similar situations. This leads to "judge shopping," in which defendants and their defense counsels request postponements and adjournments to get their cases before more lenient judges.

Unjustified sentencing disparities cause correctional problems when prisoners compare their sentences, and those with reason to believe they have been the victims of judicial prejudices become more hostile and resistant to correctional treatment. Sentences that are too severe can reinforce criminal tendencies, while those that are too short can deprive the law of its effectiveness and lead to the premature release of dangerous criminals from correctional supervision.

Sentencing decisions are complicated: the court must choose between the competing sentencing principles of deterrence, reintegration/rehabilitation, and retribution. The decision of whether to confine or supervise a given offender in the community is a momentous one. Sentencing decisions should be based on careful weighing of the public's need for protection, the rehabilitative needs of the offender, the seriousness of the offense, and predictions of the offender's response to his offense. The mini-

mum amount of custody consistent with these concerns seems logical unless one desires to waste money on correctional overkill. Research findings indicate that while fear of arrest and imprisonment do deter many from crime, knowledge of penalties and fear of long imprisonment does not. Since there is no one cause of crime and since no one rehabilitative method fits all offenders, sentencing should be tailored to the individual offender. For some offenders, such as members of organized crime and chronic repeaters, the primary goal of sentencing must be public protection, not offender rehabilitation.

Sentences can be made without the judge having any information other than the offender's name and the crime of which he is guilty. Frequently the information used in making sentencing decisions is unreliable, based on hearsay, or inaccurate. The judge is not required to disclose the information considered when sentencing to either the defendant or his counsel, nor may they challenge the sentence. In many jurisdictions, as long as the sentence is within the maximum allowable by law, it is not subject to review by another court or agency even if it is based on judicial misinformation, bias, prejudice, or ignorance. As will be discussed later, studies have shown that whether or not a defendant is released on bail or detained prior to trial influences the nature and extent of the sentence eventually imposed.

Gross sentencing disparities which are not based on considerations of the crime or the criminal result from inadequate legal codes, lack of communication between judges and courts, lack of familiarity by many judges of the institutions to which they sentence offenders, and lack of information on sentencing alternatives.

Steps are being taken in many jurisdictions to avoid and correct excessive, inadequate, or disparate sentences. These include establishing sentencing councils of judges, providing for appellate review of legally imposed sentences, providing training for judges in correctional theory and practice, conducting judicial sentencing institutes, and providing judges with adequate presentence reports in every case.

Organization

In most states, trial courts are divided into three basic classifications: juvenile courts, adult felony courts, and misdemeanor courts.

Although varying widely in structure, procedure, and quality, the purpose of *juvenile courts* is to provide special treatment with an

informal, rehabilitative emphasis rather than a retributive and punitive one for the young offender. Operated on the principle of *pareus patriae*, the power of the state through the court to act in behalf of the child as a wise parent would, the jurisdiction of juvenile courts is broad, including status offenses — behavior peculiar to children such as truancy, running away, and incorrigibility. Thus the juvenile court has increasingly assumed authority over children commonly thought to be vested only in parents, other relatives, and teachers. Without screening processes to filter out those whose conduct might be more appropriately controlled and corrected by alternatives to court action, many authorities believe that juvenile courts perpetuate delinquency by labeling children delinquent. Although the juvenile court process is a noncriminal one and no conviction may result from it, in practice the stigmatization and the dispositional alternatives do not appreciably differ from the adult criminal court process. Several studies suggest that many children mature out of delinquent behavior and that it is better to “leave them alone” unless they have had three or four contacts with the police.

To give more emphasis to the causal relationship between delinquency and other family problems — a broken family, one without sufficient financial resources, one which abuses children, etc. — the National Advisory Commission recommends that jurisdiction over juveniles be placed in family courts which would have jurisdiction over all legal matters related to family life — neglect, support, custody, divorce, etc. It is also recommended that offenses which would be criminal if committed by adults be the primary focus of the court system. In the past the informality of juvenile court hearings frequently served to abridge juveniles of the procedural safeguards available to adults. However in the *Gault* decision, the U.S. Supreme Court ruled that a juvenile charged with an “adult criminal act” is entitled to:

- representation by counsel,
- the privilege against self-incrimination,
- right to confront and cross-examine witnesses,
- admission of only evidence which is competent and relevant, and
- proof of the alleged acts beyond a reasonable doubt.

Adult felony courts may either have both criminal and civil jurisdiction or handle criminal matters exclusively. Since these courts are

usually financed fully or in part by the state, within each state there is typically some consistency to their organization and deployment.

The misdemeanor courts, frequently referred to as lower or inferior courts, hear the vast majority of adult criminal cases, including most of those in the victimless crime category. The organization and distribution of lower courts vary from state to state and within states from community to community. In many cities an offender may be charged with the same offense in any one of three or more courts — a city or municipal police court, a county court, or a state trial court of general jurisdiction. Since philosophies, procedures, and personnel may greatly vary among these courts, the arbitrary choice by the arresting officer of which court to bring a defendant may determine the offender's final disposition and the type of treatment received. The personnel in the lower courts are sometimes poorly qualified. Judges may have no legal training, police officers may prosecute the cases, and probation services may be unknown. The importance of the lower courts is difficult to overemphasize; frequently they are *de facto* felony courts in that many felonies are reduced to misdemeanors through plea bargaining. The distinction between felonies and misdemeanors further fades when one considers that a misdemeanor in one state is a felony in another, and that the differences between misdemeanors and felonies may be determined by the number of stitches required for the victim. To the extent that misdemeanants are at an early stage in their criminal careers, prudent litigation and appropriate correctional alternatives are even more important in these than in felony cases. Finally, the stockyard manner of so many lower courts creates and reinforces disrespect for the law.

Juvenile, adult felony, and misdemeanor courts in most states are operated independently, each having its own judges, court personnel, procedures, facilities, prosecutors, public defenders, and probation services. Each court and each judge form a distinct administrative unit which operates in its own way at its own pace. The National Advisory Commission, as have many commissions and authorities before it, recommends unification of all courts within a state into a single state court system under the administrative authority of the state's highest appellate court. Court unification is seen as being more financially prudent, promoting the uniform dispensation of justice, and permitting the shifting and allocation of judicial and administrative personnel to meet changing requirements — unlike the present situation where one

court may be overloaded while the docket of another is current.

Court Personnel

The Prosecutors

The prosecutor — sometimes called a district attorney, state's attorney, or solicitor — is the most influential person in the criminal justice system after the judge. Prosecutors determine who will be charged and what the charge will be. They have the authority to dismiss suspected offenders arrested by the police, to refer cases to agencies outside of the criminal justice system, and to reduce the charges against those whom they ultimately prosecute. Thus the prosecutor's office is a pivotal point at which offenders can be diverted from the system. Decisions made by the prosecutor affect police practices, the volume of cases in the courts, and the number of offenders referred to the correctional system.

As crucial as their role is, many, if not most, prosecutors serve part-time, are understaffed, are not trained for their jobs, are selected or elected according to partisan politics, serve short terms, and receive lower salaries than private practice lawyers of similar backgrounds and experiences. Given these conditions, it is difficult to secure and keep talented attorneys as prosecutors, and the prosecutor's office is frequently regarded as a stepping stone to higher political office or the bench.

The majority of serious crimes is handled by the process known as plea bargaining, in which representatives of the prosecutor and the defendant negotiate. In many courts, more than 90 percent of criminal convictions come from pleas of guilty, often following negotiations with the prosecutor rather than from a jury verdict or judicial decision. The negotiated guilty plea may result from the prosecutor's reducing the charge or the number of charges, reducing the sentence to be recommended, or promising that the case will come before a lenient judge. As an instrument for the administration of justice, plea bargaining can help to assure that an offender, against whom the prosecutor has a weak felony case, will at least receive judicial action as a misdemeanor; it can allow the prosecutor to overcome inadequate and unjustifiably harsh penal codes by gearing punishment to the facts of the case; and it allows the prosecutor to receive information, assistance, or testimony about serious offenders — particularly professional criminals. Yet in practice, plea bargaining is most often based

upon workload concerns or the prosecutor's fear of losing a case as originally charged. Simply put, the resources for prosecution, defense, and the courts are not adequate for handling the increasing volume of cases coming before them. Consequently the prosecutor with a heavy backlog must frequently either negotiate a plea or dismiss the case. Sometimes even innocent defendants are anxious to plead guilty, to serve their time, and to get out of jail quickly since the time spent awaiting trial is often longer than the sentence. One can only guess at the disenchantment and ill respect for the law that results from such treatment. While many authorities believe that plea bargaining is necessary and that efforts should be directed toward improving not eliminating the practice, the National Advisory Commission recommends that plea bargaining be abolished. If the other recommendations of the Commission were adopted, there would be no legitimate role for the process.

The Judiciary

Judges are the most influential and the most highly esteemed participants in the criminal justice system. Their discretionary power is enormous, and they frequently operate with almost no direct supervision. Yet judges are most frequently elected or selected on the basis of political party considerations rather than personal qualifications.

Judges set the groundwork for efforts to rehabilitate offenders, yet most judges are unaware of correctional alternatives and many have never visited the institutions to which they sentence offenders. In most areas, training is either not available or, if available, not required for incoming or tenured judges. In many lower courts, judges are not lawyers and may not have college educations. Even when a judge demonstrates blatantly improper action during a trial, defense attorneys are reluctant to question the judge's decision or actions since by doing so they might win that case but lose the next three or four. In most states there is no effective system of discipline and removal to deal with judicial misbehavior and incompetence. The National Advisory Commission recommends that judges be nominated by a judicial commission appointed by the governor and composed of private nonlawyer citizens and lawyers, and that judges stand for periodic, uncontested elections in which they run against their records. Certainly the role of the judge is too significant for the appointment to be based on political payoffs.

Defense Counsel

The role of the defense counsel has grown tremendously in recent years because of U.S. Supreme Court decisions extending the right to counsel to anyone who may be incarcerated as the result of a criminal trial. Presently most defense services are provided by public defenders. There is considerable controversy over the adequacy of public representation; a report issued in 1969 by the Administrative Office of the U.S. Courts showed that defendants who could not afford private counsel received much harsher sentences than those who could.

Court Administration

Many courts are poorly administered and do not utilize the simplest, most basic management tools. The managerial tasks involved in operating a court are awesome and include: preparing budgets, managing personnel, allocating space and people, making purchases, keeping records and statistics, scheduling cases, overseeing collection of fines, maintaining facilities, etc. Yet, judges are frequently responsible for the administrative aspects of running their courts which distracts from time that could otherwise be spent in adjudication.

The effects of poor court administration are staggering. Judges, defense lawyers, witnesses, arresting officers, complainants, and defendants fail to appear for trials because there is no effective mechanism to assure their coordinated appearance. Frequently there is no procedure to inform other trial participants before their appearance in court that someone is unable to appear. Thus there are unnecessary delays and continuances. There are no procedures for shifting judges when one becomes ill, goes on vacation, or is facing an abnormal backlog. In local court systems, some judges may be underworked while others are snowed under. Records are so incomplete that a judge may not realize that the defendant before the bench has been arrested for another offense and is scheduled to appear before another judge.

A distinction is needed between court administration and adjudication. The National Advisory Commission recommends the utilization of professional court administrators to whom judges can delegate management functions. The Commission further recommends that each state have a state court administrator responsible for establishing operational guidelines for the local administrators and for assigning judges as needs change.

Recommendations

Truly, the courts, the pivot around which the criminal justice system spins, need revamping. For a more detailed review of the problems facing the courts, and recommendations for needed action, see the National Advisory Commission's *Court* report which calls for:

- establishing objective criteria for screening all cases coming before the prosecutor to determine if further processing is appropriate;
- diverting certain offenders into noncriminal programs before formal trial or conviction;
- ending the practice of plea negotiation;
- eliminating inefficient and unnecessary pretrial proceedings including grand juries and arraignments;
- reducing pretrial processing period to sixty days or less from arrest to trial in felony cases and thirty days in misdemeanor cases;
- affording every convicted offender the opportunity to obtain full and fair judicial review of his conviction, but allowing only one review on appeal;
- abolishing the trial *de novo* system;
- unifying all trial courts within a state into a single court of general jurisdiction under the administrative authority of the state's highest appellate court;
- establishing a state court administrator responsible for setting policies for the administration of the entire state court system;
- employing qualified, full-time prosecutors provided with the necessary personnel, fiscal resources, and support services;
- providing public representation to all eligible defendants from arrest to exhaustion of all avenues of relief from conviction;
- improving court-community relations;
- establishing family courts to handle juvenile cases;
- reforming juvenile handling procedures; and
- removing judges from the elective process and having them appointed by special judicial nominating committees.

Corrections

Corrections is a diffuse and variegated operation. Defined as the community's official response to the convicted offender, corrections includes juvenile detention, probation, and after-

care; and adult probation, prisons, and parole. Although jails and lockups have traditionally been operated by law enforcement rather than correctional agencies, they will also be discussed in this section since so many authorities believe that they belong under the purview of the corrections component. From a legal standpoint, juveniles are not charged and convicted of offenses in juvenile courts, but rather hearings are held to determine what actions are in their best interests. Thus, juveniles do not properly fall within the scope of the above definition of corrections unless they are tried as adults in regular courts. In practice this difference is semantic, and corrections is deeply enmeshed in institutional and community-based programs for juveniles, although in many states correctional services are divided into juvenile and adult categories.

Although the term "corrections" implies altering or correcting behavioral dispositions that cause criminal acts, in reality there are a variety of purposes for corrections. Rehabilitation of the offender, punishment of the offender, and protection of the public are the most obvious. The public and, thus, public officials vacillate between which of these purposes should be given priority in correctional practices.

As evidence mounts that the traditional custody and treatment programs of corrections have made little difference in preventing recidivism of crime, two differing conclusions have been reached. The hardline position is that offenders cannot be rehabilitated. This led the director of the Federal Bureau of Prisons in 1975 to state that "the federal prison system has swung abruptly away from its traditional emphasis on rehabilitation and is now espousing hardline policies emphasizing incarceration and punishment." An opposing conclusion is that the failure of correctional rehabilitation does not so much result from the incorrigibility of offenders as from the incorrigibility of correctional systems. "We might conclude that most or all correctional treatments are increasing rather than decreasing the probability of recidivism. . . . By doing as little as possible we may be doing as little harm as possible."⁶

When crime and delinquency are seen as symptoms of failure and disorganization in the community as well as in the offender, both the offender and the community become the focus of correctional activity. The practical inconsistencies of this philosophy with the one which leads to banishment and isolation of offenders in archaic institutions have plagued correc-

tional authorities for many years. While it may be possible to both punish and rehabilitate someone, it is difficult to do both at the same time in the same place.

Correctional purposes can and should differ for various types of offenders. Since recidivist crime comprises a substantial proportion of all crime, crime reduction is a major correctional goal. The directions implied by this goal are largely determined by one's beliefs as to the causes of crime.

Of convicted offenders under correctional supervision, approximately 25 percent are in institutions and the remainder in communities on probation or parole. Yet institutions employ more than two-thirds of all persons working in corrections and receive approximately 70 percent of the annual expenditures for corrections.⁷ The national manpower survey conducted by the Joint Commission on Correctional Manpower and Training in 1969 showed only 9 percent of institutional personnel assigned to rehabilitation.⁸

A major obstacle facing corrections is that today's practitioners are saddled with the physical remains of yesterday's (frequently last century's) institutions and with an ideological legacy that equates criminal behavior with either moral or psychological illness. This legacy leads to the conclusion that the sick person must be given treatment, and that this treatment should be in an institution removed from the community.

It is time to question this ideological inheritance. If New York has 31 times as many armed robberies as London, if Philadelphia has 44 times as many criminal homicides as Vienna, if Chicago has more burglaries than all of Japan, if Los Angeles has more drug addiction than all of Western Europe, then we must concentrate on the social and economic ills of New York, Philadelphia, Chicago, Los Angeles, and America.

This has not been our approach. We concentrate on "correcting" and "treating" the offender. This is a poor version of the "medical" model. What is needed is a good version of the "public health" model, an attempt to treat causes rather than symptoms.

If the war against crime is to be won, it will be won ultimately by correcting the conditions in our society that produce such an inordinate amount of criminal activity. These conditions include high unemploy-

ment, irrelevant education, racism, poor housing, family disintegration, and government corruption. These, among others, form the freshets that make the streams that form the rivers that flood our criminal justice system and ultimately its correctional institutions.⁹

High recidivism rates, riots and unrest in prisons, revelations of brutality and degradation in jails, increasing litigation against correctional officials, and indignant public reactions attest to the need for change in corrections.

Reform in corrections will also require changes in public values and attitudes. The public must recognize that crime and delinquency are related to the kind of society in which offenders live. Reduction of crime may therefore depend on basic social change.¹⁰

It is not necessary to make these changes out of sympathy for the criminal or with disregard for the threat of crime to society. Changes must be made precisely because that threat is too serious to be countered by methods proven to be ineffective.

Behind these clear imperatives lies the achievable principle of a much greater selectivity and sophistication in the use of crime control and correctional methods. These great powers must be reserved for controlling persons who seriously threaten others. They should not be applied to the nuisances, the troublesome, and the rejected who now clutter our prisons and reformatories and fill our jails and youth detention facilities.

The criminal justice system should become the agency of last resort for social problems. The institution should be the last resort for correctional problems.¹¹

Corrections and the Criminal Justice System

"Corrections inherits any inefficiency, inequity, and improper discrimination that may have occurred in any earlier step of the criminal justice process. Its clients come to it from the other subsystems; it is the consistent heir to their defects."¹² Thus, while the interrelatedness of all the system components causes the ideology and resultant practices of one component to impinge upon the activities of the others, these relationships are particularly acute for corrections which comes after the legislators, investigators, enforcers, prose-

cutors, and courts have done their work.

The police, with their law enforcement and order maintenance roles, frequently consider removing known offenders from the community and keeping them locked up as the key to criminal justice problems; at least it shifts the problem to someone else. The police often spend more time with the victim than with the offender who may have had to be forcefully subdued, and they are influenced by the emotional reactions of the community. When they encounter released offenders who have turned out to be bad risks, the police feel that corrections and the courts are coddling offenders and making their jobs impossible. As a result they are not inclined to cooperate with correctional officials working with community-based offenders and are frequently less than enthusiastic about diverting offenders from the system. The practice of keeping close surveillance on released offenders and checking ex-offenders first when crimes are committed, reinforces the attitude of many offenders that the system is out to get them. Ex-offenders often feel that the presumption of innocence has been replaced by the presumption of guilt.

While the police lay the groundwork for determining the clientele of corrections through exercising broad discretion in the decision to arrest, the courts make the final decisions as to who will be channeled into corrections under what conditions and for how long. Disparities in sentencing increase the disillusionment and hostility of institutionalized offenders. Consider, for example, the person serving a ten-year sentence for the same act for which a fellow prisoner is serving a two-year sentence. The problems resulting from such disparities are compounded when the differences in sentences can be attributed to racial prejudices. Rehabilitation is not likely to be achieved unless the offender perceives some justification for his sentence and sees the sentence as equitable, at least in terms of sentences imposed on fellow prisoners. The courts are not only a participant in the criminal justice process (in many jurisdictions, besides their judicial functions, the courts administer the probation system), but also the supervisor of the other elements. As will be discussed later, in recent years the courts have taken an active role in supervising the activities of correctional officials.

Within the correctional subsystem, effectiveness will never approach full potential unless its many interrelated components are of uniformly high caliber. If there is no

probation officer to prepare a presentence report that enables a judge to arrive at an informed sentence, an offender may be committed to an excellent but inappropriate correctional facility; as a result, the correctional process fails before it begins. If a prison is operated on the basis that inmates are little more than human rubbish, the best parole program imaginable is unlikely to succeed. And even if probation, incarceration, and parole are all appropriate and well administered, little will be accomplished for an offender unless community resources and attitudes are supportive.¹³

Corrections and The Constitution

Correctional immunity from Constitutional requirements has ended. The Constitution does not exempt prisoners and other convicted offenders from its protection. In recent years, the courts have abandoned their hands-off policy in the exercise of discretion by correctional administrators and parole boards. Earlier, offenders were presumed as a matter of law to have forfeited all rights upon conviction that were not expressly granted to them by statute or correctional authority. Whatever services, comforts, or privileges the offender received were a matter of grace or privilege to be granted or withheld by the state. Then, for the first time in legal history, in 1971 a group of Arkansas prisoners sued the entire Arkansas penitentiary system. The federal court upheld their claim that confinement in the system amounted to cruel and unusual punishment, which is unconstitutional. Since that time, prisoners, pretrial detainees, probationers, and parolees have requested, and the courts have granted, judicial relief from various correctional practices. The courts have evaluated correctional practices against three fundamental Constitutional safeguards: 1) state action may not deprive citizens of life, liberty, or property without due process of law; 2) state action may not deprive citizens of their right to equal protection of the law; and 3) state action may not inflict cruel and unusual punishment.

The emerging view supported by Supreme Court rulings is that the convicted offender retains all rights of an ordinary citizen except those that are expressly taken in order to carry out the criminal sanction and those that by necessity must be limited or forfeited in order to administer a correctional institution or agency. When necessity is claimed as justification for limiting some right, the burden of proof must be borne by the correctional authority since

administrative inconvenience is no longer equated with administrative necessity by the courts. Thus the concept of offender rights has evolved and includes the first amendment rights, the means to enforce other rights (access to the courts, access to legal services, access to legal materials), protection against personal abuse, healthful surroundings, medical care, freedom from unrestricted searches, nondiscriminatory treatment, grievance procedures, and access to the public and the media. The right to healthful surroundings, medical care, and other rights related to living conditions apply, of course, only to the incarcerated offender and not to the probationer, parolee, or other community-based offender, many of whom live under deprived conditions.

Correctional administrators are required to provide due process in decisions and actions affecting offenders, which means that agencies and programs should be administered with clearly enunciated policies and with established and fair procedures for resolving inmate grievances.

While on the one hand, the court's intervention into correctional administration has increased the administrative burden of correctional officials, on the other, it has lent credence and official sanction to the objectives that reform-minded administrators had been espousing for a number of years. For example, provision of offender rights supports the community reintegration goal of most agencies since it is much more difficult for offenders to make the transition from institution-dependent living to autonomous community living when they have been denied basic personal rights. Providing healthful living conditions will necessitate expansive improvements in both facilities and programs in many jurisdictions. Protection of rights and provision of new services often requires upgrading personnel and training line personnel to understand the substance of offender rights. A real dilemma comes, however, when administrators are forced to take remedial actions which require funds or power which they do not have. While the courts can declare what should be done, they can not provide the funds. These must come from the public by way of the legislatures through the executive branches of government.

Ultimately the constitution may require either an acceptable correctional system or none at all. "The illogic of attempting to train lawbreakers to obey the law in a system unresponsive to law should have been recognized long ago."¹⁴

Denial of offenders' rights does not end with the completion of their sentences. Many states deny ex-offenders the right to vote, hold public offices, to serve on juries, and to obtain licenses to practice government-regulated occupations.

Individualization of Treatment: Diagnosis and Classification

Contrary to popular belief, rehabilitation of offenders — the soft approach — has not failed. In reality it has not been tried. Differentiation of treatment approach on the bases of individual differences, needs, and resources has long been recognized as essential to successful treatment by medical, educational, mental health, and correctional authorities. Yet, individualization of treatment has not been employed in the criminal justice field because of insufficient resources to research and develop classificatory systems, to diagnose individuals, and to offer a range of services to meet the individual needs of offenders.

Most existing classification schemes used by corrections are directed toward management, not treatment purposes. They are designed to assess risk and to facilitate the management of offenders so as to minimize their chances for further law violations while under the control of the correctional agencies. Even most management classification systems are bare-bone ones which typically segregate offenders on the basis of sex, adult-juvenile status, and less frequently the seriousness of their offenses.

The goal of treatment classification is to change the individual offender or aspects of his environment so as to assure long-term lawful behavior. In many respects this approach is contrary to the popular assumption that to deter crime, previously determined consequences must automatically and quickly follow its commission. The credibility of this "constancy" approach is supposedly based on behaviorism (Skinner, etc.). Yet one of the basic principles of behaviorism or behavior modification is that treatment — the reinforcement: reward or punishment — must be tailored to the individual. For example, while a hand-slap for one child might be a punishment or deterrent for the provoking action, for another it might serve as a reward, as in getting the parent's attention.

With interests in classification systems growing, there are currently four organizational arrangements: classification units within existing institutions, classification committees, reception-diagnosis centers, and community classification teams.

Institutions

Ostensibly, offenders are sent to prisons *as* punishment not *for* punishment, yet the conditions facing inmates in many institutions are so devastating that the courts have declared them cruel and unusual punishment.

Institutions are costly to construct, maintain, and operate as evidenced by approximately three-fourths of the correctional dollar going to institutions which care for one-fourth of the correctional clientele. Construction costs for new institutions range from \$30,000 to \$45,000 and higher per inmate space in many jurisdictions. Annual operating costs vary widely, but range upward to \$13,000 and more per inmate — excluding such possible hidden costs as lost earnings and welfare support for dependent families.¹⁵ Correctional administrators estimate that 75 percent of the people in their institutions could safely remain in the community.

Ultimately, almost all — approximately 99 percent — of those in institutions are eventually returned to the community. The questions are when will they be placed in the community and under what circumstances, not if they will be.

Jails and Pretrial Detention

The approximately 4,000 institutions operated by local and county governments are called jails. They are used to detain persons awaiting trial, serving misdemeanor sentences, or awaiting transfer to state institutions after conviction for felony offenses. In many jurisdictions, jails are also used to temporarily detain suspects, witnesses, and those whom no one intends to bring to trial (town drunks, vagrants, etc.). Because of these multiple uses, jail populations are more diverse than those of any other type of correctional institution. Yet frequently, there is no segregation on the basis of accused/sentenced, felony/misdemeanant, juvenile/adult statuses. Although diverse in other respects, jail populations tend to have common socioeconomic characteristics. They are typically poor, undereducated, unemployed, frequently from minority groups, and cannot afford bail.

The physical conditions of jails are frequently abominable — overcrowded and lacking in rudimentary sanitation requirements. Some do not have flush toilets; many more have filthy cells, bedding, and food. Most are worse than institutions for convicted felons, yet jails house citizens presumed by law to be innocent. Indeed, pretrial custody accounts for almost as much local incarceration in the United States as

does imprisonment after sentencing. With pretrial detention increasing while postconviction imprisonment decreases, disrespect for the law is likely to increase. "How else can a rational person view a system of justice that detains vast numbers of accused persons in maximum security institutions during the period of their presumed innocence, only to release most of them when they plead or are found guilty?"¹⁶

Among the myriad of problems facing the criminal justice system, few match the irrational decision making, the waste of resources, and the unsystematic efforts for reform that characterize the pretrial period.

By tradition, the detention of unconvicted persons has fallen outside the jurisdiction of corrections, the courts, and police. Judges seldom order persons detained pending trial; they simply set bail. Prosecutors and defenders do not lock people up; they merely argue their recommendations to the courts. Sheriffs and wardens make no detention decisions, they only act as custodians for those who fail to gain pretrial release. Taken together, these abdications relegate the pretrial process to the role of stepchild in the criminal justice system and explain why the problem remains so troublesome.¹⁷

Studies have shown that the pretrial decision of whether to detain or to release has a significant impact both on whether a defendant is found innocent or guilty and on decisions made after a conviction, such as type and length of sentence. Even when factors that might also affect whether a person should be released while awaiting trial are held constant, those on bail prior to trial are more likely to be found innocent or to receive probation than those detained in jail.¹⁸

Convicted misdemeanants form a much larger group than felons or juvenile offenders. Yet probation is not widely used, parole and aftercare services are almost nonexistent, and jail facilities rarely provide rehabilitative programs. The only teachers that misdemeanants, juveniles, and pretrial detainees are likely to come into contact with while in jail are experienced felons.

As the courts increasingly demand that local facilities be brought up to decent and humane standards, there is growing pressure on local jurisdictions to construct new facilities or to expand and renovate existing ones. Such expenditures may commit local jurisdictions to continued use of detention as the principal method of handling persons awaiting trial and

sentenced misdemeanants long after more effective and economical alternatives have been discovered. The National Advisory Commission along with many other professional study groups, warns against construction without serious, careful study of alternatives. Future court rulings as to the rights of unconvicted persons may well make such facilities obsolete. When construction is mandated by concern with the safety and care of those who must be detained, the Commission recommends the community correctional concept which may be structured on either a regional or a network approach rather than the construction of facilities serving only one local jurisdiction.

Major Institutions

The failure of major institutions to reduce crime is incontestable. Recidivism rates are notoriously high. Institutions do succeed in punishing, but they do not deter. They protect the community, but that protection is only temporary. They relieve the community of responsibility by removing the offender, but they make successful reintegration into the community unlikely. They change the committed offender, but the change is more likely to be negative than positive.¹⁹

Although the term "major institutions" refers to state-operated penal and correctional institutions for convicted juveniles and adults, and not to size, such institutions are frequently so large that their operational needs take precedence over the needs of the people that they hold. The "bureaucratese" for prisons varies from state to state, with such names as youth development centers, training schools, industrial schools, state homes, penitentiaries, classification and reception centers, correctional institutions, reformatories, treatment centers, and state farms. There are approximately 367 major juvenile and 401 major adult prisons in the United States.

Major institutions are divided into maximum, medium, and minimum security categories generally according to the extent of security trappings and procedures employed. Within most institutions, all three classifications may be used to distinguish different wards or buildings. What is considered maximum security in one state may be considered minimum security in another state.

Maximum security prisons house approximately 49 percent of the adult prison population. In 1971, of the 113 maximum security prisons in operation, fifty-six were built before

1900, six of which were built before 1830. They are characterized by security features — high walls, electronic surveillance, cage-like cells — and little else.

Although the predominant consideration is still security, medium security institutions have been designed and constructed to be more conducive to correctional and rehabilitative programs. It is in these institutions that the most intensive rehabilitative efforts and programs are conducted. Minimum security institutions are relatively open. Most were created more to serve the economic needs of society than the correctional needs of offenders. Huge prison plantations, small farms, and road and forestry camps in which inmates cut lumber, raise livestock, build roads, fight forest fires, or maintain parks and state buildings largely comprise the minimum security category of institutions. In more recent years, drug rehabilitation centers have been added. Like most maximum security institutions, most open minimum security institutions are located in remote or rural areas.

Although prison facilities are frequently located in rural areas and staffed by people from rural areas, inmates come from urban areas and minority groups whose life styles and languages are incomprehensible to the staff. Such locations predetermine what services and programs can and cannot be provided to inmates. Social service and educational programs and volunteer resources concentrated in urban settings are not available to the isolated prison. Attempts to relocate correctional facilities are resisted by current staffs and by elected officials from the areas, as these institutions frequently provide a major source of revenue and employment to otherwise depressed areas. Moreover, the general public is quite content for the large facilities to operate on the outskirts of town if the alternative is a smaller, community-based facility in their own neighborhoods.

Within the confines of abusive and regimented prisons, society expects inmates to become socially responsible individuals without giving them opportunities to do so. Passivity is rewarded and self-government eroded by a system which tells them when to wake up, eat, and sleep; censors their mail; and limits their visitors. They learn that to survive they must neither question the authority of the guards nor of the inmate culture. Their days are spent either in debilitating idleness or at jobs which do not exist in the real world. Although employment is crucial to the successful reintegration of offenders, they frequently receive no job training, and if they

do, it is likely to be how to operate obsolete equipment or for jobs whose licensing requirements bar ex-offenders. Even the offenders in minimum security prisons who spend most of their time working are gaining very little transferable experience since rural labor bears little resemblance to the work skills required for urban life. Making good prisoners out of offenders is not the same as making them better citizens.

In the past ten years, four presidential commissions, numerous major citizen and professional groups (e.g., American Bar Association, the National Council on Crime and Delinquency), dozens of legislative reports, and at least 1,000 books and articles have pleaded for prison reform. Their advice has gone largely unheeded. The National Advisory Commission believes that there will be a continuing need for some institutions for adults who cannot be supervised in the community without endangering public safety, but that there are already more than enough institutions to handle this need. The institutions of the future are expected to have an even more difficult role than current ones since the diversion of the less-violent and less-experienced offender will result in an institutional population of older, more hardened, dangerous, and explosive prisoners.

The Commission recommends that juveniles be incarcerated only when it can be clearly demonstrated that they pose a safety threat to others. If residential youth facilities are necessary, it is recommended that they be situated in cities and draw from the services available there.

Community-Based Corrections

Increasingly, crime and delinquency are seen as symptoms of failure and disorganization in the community as well as in the offender. Offenders have had too little contact with the positive forces that develop law-abiding conduct, including good schools, gainful employment, adequate housing, and rewarding leisure-time activities. A fundamental correctional objective then becomes securing contacts, experiences, and opportunities for offenders that will stimulate the desire for and provide a means of pursuing a lawful life style. Thus both the community and the offender become the focus of correctional activity. With this thrust, reintegration of the offender into the community becomes the major purpose of corrections.²⁰ How better to reintegrate offenders in the community than by placing them there under varying levels of supervision?

Community-based corrections as used here includes all correctional activities that take place in the community whether the offender is initially sentenced to a community-based program, as with probation; gradually phased into a community-based program during incarceration, as with work-release programs; or provided aftercare services in the community following discharge from an institution, as with parole services.

The most obvious argument in favor of community-based corrections is the failure and high costs of institutions. The per person costs of custody generally exceed any kind of community program; imprisonment is frequently nearly ten to twenty times more expensive than current probation or parole services. But there are many other advantages. The wide range of programs that can be offered in the community facilitates individualization of treatment as it allows the sentencing court to select one suited to the needs of an individual offender. Community-based programs can take advantage of existing health, education, counseling, and employment services that can not be replicated within institutions. Once familiar with such services, ex-offenders may continue to utilize them after their release from correctional supervision. Perhaps most significantly, community-based corrections keeps offenders in the community with family and friends, and this is the environment with which ex-offenders must ultimately learn to cope. Volunteer participation can be more readily advanced in the community than in isolated institutions. Indeed community-based programs are not restricted to those provided by correctional agencies but may be entirely planned and operated by citizen groups and private organizations. Referrals to such programs may come from the individual, family, friends, schools, the police, the courts, or corrections. Thus early diversion is facilitated.

The most frequent criticisms of community-based programs are that they provide insufficient public protection and that they will not deter the actual or potential offender from future offenses. To the latter objection, one has only to look at the recidivism rate for incarcerated offenders. Even if the resultant recidivism rates for community-based programs were the same, from a cost-benefit standpoint community-based corrections would clearly be advantageous.

Regarding public protection, elimination of incarceration does not necessarily eliminate control and surveillance. Still, many consider

the placement of convicted offenders in community programs designed to improve their life styles as rewarding rather than punishing them for their misdeeds. To this line of reasoning, one must ask at what expense vengeance is desired. Incarceration, after all, punishes not just the offender but the tax-paying public.

Probation

Probation provides the foundation on which to build a wide range of community-based services. It is the oldest form of community-based corrections, having been initiated by a volunteer, John Augustus, a Boston shoemaker, in 1841.

The American Bar Association Project on Standards for Criminal Justice defines probation as "a sentence not involving confinement which imposes conditions and retains authority in the sentencing court to modify the conditions of sentence or to re-sentence the offender if he violates the conditions."²¹ Since most correctional monies are channeled into institutions, probation systems providing the support and services needed by offenders have rarely been developed.

The position of probation in the governmental framework varies among the states. In some jurisdictions probation is administered by the courts while in most it is under the correctional component. Probation services may be organized on a state or local level. In most jurisdictions probation services are not provided to misdemeanor offenders. The workload of many probation supervisors is so heavy that minimal services are provided to probationers.

Community Reintegration Programs

Community reintegration programs attempt to ease the transition between the dependency and isolation of imprisonment and the responsibility for autonomous living in the community by providing prisoners gradually increasing amounts of release time for work, education, and/or community living before they are released to total freedom. Many of the programs originally developed for reintegration of the incarcerated offender are also appropriate for initial sentencing dispositions, probationers, and/or parolees.

Release programs enable offenders to work or to go to school in the community during the day and return to the institution at night or on the weekends.

Halfway houses (which may be referred to as

group homes, community correctional centers, community treatment centers, etc.) are used to enable offenders to live in the community while at the same time receiving guidance and supervision.

Parole

Parole is the conditional release of offenders from correctional institutions prior to completion of their maximum sentences. Most offenders released from prison reenter the community on parole. Virtually all youth committed to juvenile institutions are released under some form of supervision — typically labeled aftercare rather than parole. But almost all misdemeanants are released from local institutions and jails without follow-up supervision or parole.

Although parole is frequently attacked as leniency, its proponents provide convincing arguments to the contrary. Almost everyone committed to a correctional institution will ultimately be returned to the community. Their release can either be outright or they can be released under supervision — paroled. It is estimated that the first four to five days out of prison is the hardest and most crucial adjustment period. The highest rates of recidivism occur during the first six months after an inmate's release from prison. It is further argued that the sentencing court cannot anticipate new information or circumstances which indicate the optimum release date. The paroling authority has the advantage of observing or learning about the offender's behavior and changes in behavior during incarceration.

Parole authority is typically invested in full-time institutional personnel for juveniles, while for adults, parole decisions are generally made by independent boards. Members of independent parole boards are frequently ill-suited to the challenges of their responsibilities, with board membership being determined by partisan politics.

The decision of whether to grant parole is sometimes spuriously made and not based on such factors as the prisoner's prior history, progress in the institution, readiness for release, or need for supervision and assistance in the community. How the public or the governor will view a parole decision is frequently the determining factor. Another influential consideration may be how docile a prisoner has been during confinement.

Supervision of parolees varies from cursory to overly stringent. On the one hand, a ten to fifteen minute interview once per month is

common, while on the other hand, supervision may be unnecessarily restrictive in its control of the parolee's employment, mobility, and associations. (Some parole agents have refused to grant permission for parolee's to marry a person of whom they disapprove.) Parole officers may punish parolees with "jail therapy" by having them temporarily detained. Up until the late 1960s, parole could be revoked quite informally on the basis of such nebulous grounds as "generally poor attitude" or "failure to cooperate." Since that time, the courts have ruled that parole revocation must include procedural, due process safeguards. In the major proportion of parole revocation cases, violations of parole rules rather than new criminal offenses have caused the return of offenders to prison.

Organization

American corrections is a diffuse and variegated system. Its organization and management processes reflect those conditions. The range includes huge, centralized departmental complexes and autonomous one-man probation offices; separation of corrections from other governmental functions and combination of corrections with law enforcement, mental health, and social welfare; highly professionalized management methods and strikingly punitive ones.²²

The Advisory Commission on Intergovernmental Relations summarized the organizational status of corrections as follows:

Almost all states have highly fragmented correctional systems, vesting various correctional responsibilities in either independent boards or noncorrectional agencies. In 41 states, an assortment of health, welfare and youth agencies exercise certain correctional responsibilities, though their primary function is not corrections.

In over 40 states, neither states nor local governments have full-scale responsibility for comprehensive correctional services. Some corrections services, particularly parole and adult and juvenile institutions, are administered by state agencies, while others, such as probation, local institutions and jails, and juvenile detention, are county or city responsibilities.²³

Because of the balkanization of corrections, the transition between the services provided

offenders and the way that they are treated by different components is often irrationally abrupt. Accountability is difficult to fix.

The National Advisory Commission on Criminal Justice Standards and Goals recommends that state legislatures enact legislation to integrate state correctional systems, unifying all nonfederal correctional functions and programs for adults and juveniles within the executive branch. It is their belief that correctional programs can be removed from systems of local patronage without leading to remote control of programs in the community by far-removed state authorities. An entire chapter of the Commission's *Corrections* report is devoted to the dilemmas involved in correctional organization and administration.

Recommendations

There has been a comprehensive and soundly based body of guiding principles to direct correctional reform since the American Prison Association developed its "Declaration of Principles" in 1870. We have yet to achieve the correctional aspirations of 1870. Since that time, these principles have been reformulated in more modern language and have provided the backbone for many consequent calls for reform. The National Advisory Commission on Criminal Justice Standards and Goals in its *Corrections* report has elaborated these principles, and provided measurable standards to ascertain their implementation. The *Corrections* report addresses a broad expanse of criminal justice issues and problems which affect the corrections component.

The Commission identified six priority goals for corrections:

1. ***Equity and justice in corrections.*** Corrections must uphold and respect the law if it hopes to instill respect for the law in offenders. Offender rights as safeguarded by the U.S. Constitution must not be abridged. Sentencing reform is mandatory.
2. ***Narrowing the base of corrections by excluding many juveniles, minor offenders, and socio-medical cases.*** Corrections can do a better job if it does not have to handle persons with whom it is unequipped to deal; drunks, drug addicts, and the mentally disturbed continually pass through revolving jail house doors.
3. ***Shift of correctional emphasis from institutions to community-based programs.*** Institutions are costly failures. Probation should become the standard

sentence in criminal cases, with confinement retained chiefly for those offenders who cannot be safely supervised in the community.

4. ***Unification of correctional programs and total system planning.*** All non-federal correctional functions for juveniles and adults should be unified on the state level, including services for persons awaiting trial, probation supervision, institutional confinement, community-based programs (whether prior to or during institutional confinement), and parole and other aftercare programs.
5. ***Personnel development.*** Special efforts should be made to recruit members of minority groups which are usually over-represented among offenders and under-represented among the staff. Ex-offenders have many potential contributions to make as correctional employees. Increased training and higher salaries are needed for all personnel.
6. ***Greater involvement of the public in corrections.*** In the past corrections has kept the public out — literally by walls and isolated locations, figuratively by failure to explain its objectives and activities. Public understanding, acceptance, and participation in correctional programs will determine how soon and how successfully corrections can operate in the community. The public must recognize that crime and delinquency are related to the kind of society in which offenders live.

Conspicuously, most of the Commission's six priorities for correctional action cannot be implemented by corrections alone, rather they depend upon the other criminal justice components — the legislatures, the courts, the police — and upon the public.

In Conclusion

A systems approach to criminal justice necessitates a great deal more than viewing the criminal justice components — police, courts, and corrections — as being interdependent and thus forming an interlocking system. Rather, criminal justice is a societal or political subsystem as are schools, churches, health care, private enterprise, etc. Just as changes in one of the criminal justice components have ramifications for and imply changes in the other components, changes in one of the major societal subsystems imply changes in the others. For example, changes in the educational sub-

system might be prerequisite for desired innovations in the criminal justice subsystem, while on the other hand, changes in the criminal justice subsystem might effect certain changes in the educational subsystem. An illustration of the latter would be removing truancy from the purview of criminal justice and relodging it with the schools. Needless to say, there are numerous and powerful vested interests in the various societal subsystems working to prevent changes in one subsystem which will have repercussions for their own domains. As the subsystem for remedial action, criminal justice has been saddled with the failures, the offcasts, of most other societal subsystems.

However, while attempts to change societal subsystems which affect delinquency are needed, cooperative efforts by volunteers with existing criminal justice components should not

necessarily be viewed as undesirable support of the status quo. Concern for the individual offender now in the criminal justice subsystem must not be lost in our attempts to view criminal justice from a global or systems perspective.

We are still asking the questions about crime that have been pondered for generations: What causes it? Who are the offenders? Why can't we better control crime? Why can't we prevent it? What should we do about it? Yet, today there is more awareness of the complex facets of crime and more willingness to try new approaches. Innovations in the various criminal justice processes are being tested at the local and state levels. The role of federal leadership — and monies — in stimulating improvement of the system has been significant in the past decade. See Appendix I for a discussion of the federal perspective on criminal justice.

Helpful Information Sources

Numerous publications describe the process, the problems, and alternatives for improving the criminal justice system. Some address specific components and others the entire system. The resource chapter includes descriptions of numerous organizations which research and publish on various facets of the criminal justice system and a listing of periodicals which provide current descriptions and analyses of issues, problems, and innovative practices. Also several of the publications referenced in Chapters 1 and 4 include discussions of the overall criminal justice process.

The National Criminal Justice Reference Service (see resource chapter) distributes listings and descriptions of recent publications and research studies in criminal justice and provides brochures on exemplary projects. For more information write the service at Box 24036, South West Post Office, Washington, D.C. 20024.

In addition to the reports of the National Advisory Commission on Criminal Justice Standards and Goals cited throughout the chapter, there are two other highly regarded sets of standards, recommendations, and goals for the criminal justice system. These are:

1. ***The American Bar Association Standards Relating to the Administration of Criminal Justice.*** This eighteen volume set synthesizes the best available practices in every stage of a criminal proceeding, from arrest through final postconviction appeal. See "American Bar Association" in the resource chapter for more detail.
2. **The President's Commission on Law Enforcement and Administration of Justice. *The Challenge of Crime in a Free Society*,** Washington, D.C.: U.S. Government Printing Office, 1967; \$4.00. In addition to the general reports are individual task force reports on police, courts, corrections, juvenile delinquency and youth crime, organized crime, assessment of crime, narcotics and drugs, drunkenness, and service and technology.

Notable publications with extensive bibliographies include:

1. ***Correctional Bookshelf: A Bibliography.*** Washington, D.C.: U.S. Department of Justice, Bureau of Prisons. This bibliography represents a select list of some of the books and periodicals in the library of the Federal Bureau of Prisons. Entries are subdivided into subject areas covering general topics, administration and organization, programs for offenders, community corrections, the prison social system, jails, institutions for female offenders, collected readings, the prisoner's view, law, history, special problems, related subjects, and periodicals.
2. ***Marshaling Citizen Power Against Crime.*** Chamber of Commerce of the United States, 1970, \$2.00. Available from the Chamber's national office, 1615 H. Street, N.W., Washington, D.C. 20006. This compact, easy-to-read book provides an interesting and comprehensive discussion of the internal and external forces acting upon each of the criminal justice components. The interrelatedness of the various components is well illustrated and insightful examples are provided throughout. An excellent topical bibliography is included.

3. ***Publications List and Bibliography***. Washington, D.C.: American Bar Association, Commission on Correctional Facilities and Services, 1977. This publication lists virtually all of the publications of the Commission on Correctional Facilities through 1977. All entries are annotated and placed under a variety of subject headings including administering criminal justice, economics of corrections, financial assistance to offenders leaving prison, lawyers in corrections, corrections at the world level, female offenders, line officer education, minorities in corrections, pretrial intervention, volunteer parole aid, etc.
4. Schwartz, Ira M., Michael J. Mahoney, and Donald R. Jensen. ***Volunteers in Juvenile Justice***. Washington, D.C.: Law Enforcement Assistance Administration, 1977. This publication provides an excellent, comprehensive bibliography complete with abstracts within the areas of general information concerning volunteer programs, direct service programs involved with juvenile justice systems, indirect services (the use of volunteers), and the private sector. Probably the most extensive bibliography on volunteers and criminal justice available, this book may be obtained at no cost from the National Criminal Justice Reference Service, Box 24036, S.W. Post Office, Washington, D.C. 20024.

Interesting publications on various aspects of the criminal justice process include:

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NOTES

1. Law Enforcement Assistance Administration, *Sourcebook of Criminal Justice Statistics: 1976* (Albany, New York: Criminal Justice Research Center, 1977), p. 38.
2. "A Special Issue on the Problem of Crime," *Skeptic*, Special Issue No. 4 (November-December 1974), p. 26.
3. The reports of the National Advisory Commission on Criminal Justice Standards and Goals are available for purchase from the Superintendent of Documents, U.S. Government Printing Office, Washington, D.C., 20402.
4. American Bar Association Project on Standards for Criminal Justice, *Standards Relating to Sentencing Alternatives and Procedures* (New York: American Bar Association, 1969), p. 49.
5. Much of the information in this section and the following section on courts was adapted from the Chamber of Commerce of the United States, *Marshaling Citizen Power Against Crime* (Washington, D.C.: National Office, Chamber of Commerce of the U.S., 1970).
6. Leslie T. Wilkins, *Evaluation of Penal Measures* (New York: Random House, Inc., 1969), p. 76.
7. Select Committee on Crime, *Reform of Our Correctional Systems* (Washington, D.C.: U.S. Government Printing Office, 1973).
8. Joint Commission on Correctional Manpower and Training, Inc., *A Time to Act* (Washington, D.C.: Joint Commission on Correctional Manpower and Training, Inc., 1969).
9. National Advisory Commission on Criminal Justice Standards and Goals, *Corrections* (Washington, D.C.: U.S. Government Printing Office, 1973), p. 352.
10. NACCJSG, *A National Strategy to Reduce Crime* (Washington, D.C.: U.S. Government Printing Office 1973), p. 57.
11. NACCJSG, *Corrections*, p. 2.
12. *Ibid.*, p. 5.
13. Chamber of Commerce of the U.S., *Marshaling Citizen Power*, p. 75.
14. NACCJSG, *Corrections*, p. 10.
15. *Ibid.*, p. 352.
16. *Ibid.*, p. 102.
17. *Ibid.*, p. 98.
18. *Ibid.*, pp. 99-101.
19. *Ibid.*, p. 1.
20. *Ibid.*, p. 3.
21. American Bar Association Project on Standards for Criminal Justice, *Standards Relating to Probation* (New York: Institute of Judicial Administration, 1970), p. 9.
22. NACCJSG, *Corrections*, p. 439.
23. Advisory Committee on Intergovernmental Relations, *State-Local Relationships in the Criminal Justice System* (Washington, D.C.: U.S. Government Printing Office, 1971), p. 15.

Appendix I

Criminal Justice Issues: The Federal Perspective

This appendix comes from a paper prepared by The Association of Junior Leagues' Public Issues Committee in the winter and spring of 1977; some of the material is necessarily dated but the information provides helpful background on two ongoing federal efforts that have important ramifications for citizen groups working in the criminal justice field.

Law Enforcement Assistance Administration

At the present time federal policy toward criminal justice is carried out through the Law Enforcement Assistance Administration (LEAA) under the Justice Department. While its organization and mission will undergo considerable revision as a result of studies being made at the behest of current Attorney General Griffin Bell, the agency will doubtlessly continue to play a leadership role via financial and technical assistance, evaluation, and research. LEAA was founded in 1968 when Congress passed the *Omnibus Crime Control and Safe Streets Act* (P.L. 90-351) in response to the public concern in the sixties over crime in the streets. President Johnson's Commission on Law Enforcement and Administration of Justice of 1967 recommended that the federal government spearhead a coordinated effort toward crime reduction on both the national and local level.

LEAA was set up as a conduit for law enforcement grants to state and local governments with the mission to help the individual states and territories improve their criminal justice system planning and to finance new approaches in this work. While LEAA was directed not to interfere with the historical principle of state and local sovereignty in the area of law enforcement, the agency is responsible for coordinating all federal anticrime efforts in order to reduce the duplication and fragmentation of services that marked past years.

Criminal Justice Planning Organizations have been set up in each state to receive block grants of money from the federal government, which sets the dollar figures to correspond with population. LEAA also grants money directly to organizations to support innovative projects (i.e., the Junior Leagues' IMPACT Project) and for research. All applications for LEAA monies are processed through the state planning organizations.

An analysis of the 1975 block grant action funds allocations by program areas reveals the following: 30 percent of funds were allocated for law enforcement activities, such as detection, deterrence, and apprehension; 23 percent was designated for corrections, both institutional and non-institutional; 19.6 percent was allocated for diversion and prevention programs; 13.1 percent was sent to courts; 8.8 percent was spent on research and information systems (mainly geared to needs of police forces); 8.8 percent was allocated for planning and evaluation; and .1 percent was allocated for legislative activity, such as criminal code revision, etc. (This data was taken from LEAA's 1975 Annual Report.)

1976 Reauthorization Controversy

Since its creation, LEAA has been a center of controversy. The policy which has been promulgated by the agency since 1968 asserts that the federal government will only assist the local governments to do their jobs in law enforcement and criminal justice. Therefore, the use of the funds has been controlled by the local people rather than the federal government. In many cases this policy has allowed over-expenditure of funds for police department gadgetry rather than in prevention and diversion programs. Congressman Peter Rodino (D-NJ), who sponsored the 1968 legislation, admitted before the House in August, 1976 that "too much has been spent on police hardware, too little has been done to upgrade evaluation procedures, too few results, quite frankly, are visible in the crime reduction statistics" (*Congressional Record* August 31, 1976).

When the Crime Control Act came up for reauthorization in 1970 and 1973, the Congress seriously questioned the whole approach and effectiveness of LEAA. Although it allowed the agency to continue, it began to earmark funds for specific areas, such as high crime areas and correctional programs, thus asserting more federal control over the expenditure of monies. In 1974 passage of the *Juvenile Justice and Delinquency Prevention Act* (P.L. 39-415) enlarged LEAA's administration to include the Office of Juvenile Justice and Delinquency.

When LEAA came up for reauthorization in 1976, the public and Congress again debated if LEAA was actually halting crime. During hearings in the winter of 1976, critics complained that LEAA was not living up to public expectations. Representative Elizabeth Holtzman (D-NY) charged that LEAA is a failure, not only because it has not reduced crime, but because it has not properly evaluated the programs it funded to know if they have been a success or failure.

The Center for National Security released a critical study which said that LEAA was beyond repair and that Congress should admit its failure and confront again the basic question of what the federal government can do to alleviate crime. The report, called "Law and Disorder, IV," is one of a series of critical reviews produced by the Center in a project directed by Washington lawyer Sarah C. Carey.

There is Congressional concern that the block grant concept does not allow enough control over the money, resulting in misuse of funds on the state and local levels. The big city mayors, on the other hand, complain that red tape at the state level does not allow them access to money that they need. They want to set their own priorities and plans for action. They asked for direct grants to cities. State legislatures also want to have more fiscal oversight and policy control over the state programs.

Defenders of LEAA claimed that the agency basically was doing a good job of providing financing for innovative projects while remaining flexible enough to be responsive to state and local priorities. They were not happy about earmarked funds because the

monies then were withheld from states which have different needs and priorities. They added that too much was expected of LEAA, considering that it supplied only 5 percent of the total funds spent by federal, state, and local governments for law enforcement. They also felt that the agency had been the victim of bureaucratic indecision and red tape. (The above discussions are excerpted from an article in *Criminal Justice Digest*, June 1976.)

In spite of the criticism, LEAA was voted out of committee, but both houses inserted key changes. Another three-year extension was finally agreed upon, but during this time there will be extensive evaluation of the agency. Appropriations were set at \$895 million for fiscal 1977, and \$815 million for both fiscal 1978 and 1979.

The new act adds several important new features to the federal anticrime effort. Of particular interest to the volunteer sector is the establishment of *Office of Community Anti-Crime Programs* within LEAA. *The Congressional Record*, September 28, 1976, reports that the office shall "(1) provide appropriate technical assistance to community and citizen's groups to enable such groups to apply for grants to encourage community and citizen participation in crime prevention and other law enforcement and criminal justice activities; (2) coordinate its activities with other federal agencies and programs (including the Community Relations Division of the Department of Justice) designed to encourage and assist citizen participation in law enforcement and criminal justice activities; and (3) provide information on successful programs of citizen and community participation to citizen and community groups."

Every LEAA state planning agency will now be created or designated by the legislature rather than by the governor. State legislatures are also authorized to review the general goals, priorities and policies of LEAA state plans without veto power over the plans.

The law further states that the state planning agency shall be composed of representatives of the law enforcement and criminal justice agencies, including those dealing with juveniles, representatives from local government units, and "shall include representatives of citizens, professional, and community organizations, including organizations directly related to delinquency prevention" (*Congressional Record*, September 28).

The new law also says that all state planning agencies shall hold meetings open to the public with due notice given of the time, place, and agenda.

A *Judicial Planning Committee* to set court priorities and prepare an annual court plan is called for by the act. \$50,000 in state planning monies is earmarked to support this committee.

Block grants are authorized to states for monitoring and evaluating state programs; reducing court congestion and case backlog; revising criminal and procedural rules; training judges and administrators, and other programs to strengthen state courts; developing and operating programs to reduce and prevent crime against the elderly; developing programs to identify the special needs of drug and alcohol dependent persons; and developing and operating community crime prevention programs. (The above named programs are indications of

federal priorities for the next few years.)

The act authorized by September 30, 1977, a survey by the *National Institute on Law Enforcement and Criminal Justice* (an arm of LEAA) to assess existing and future needs of American correctional facilities and federal and state programs to meet those needs.

To insure a fair share of the money for juvenile programs, the act requires LEAA to earmark 19.15 percent of all appropriations for juvenile delinquency programs (*Congressional Quarterly*, October 16, 1976).

Juvenile Justice Act

Reauthorization for the Juvenile Justice and Prevention Act of 1974 will be at the hearing stage in April and May of 1977, with final passage completed by the end of September.

This legislation got off to a rocky start three years ago when President Ford refused to ask for supplementary funds for the first year of operation. When the act was first developed, appropriations were set at \$1 billion for a four-year program. This amount seemed conservative in relation to the extensive delinquency problem. However, political opposition cut the program's budget several times. The final form of the act authorized \$350 million for a three-year period, an amount which when divided between the states and the special emphasis programs hardly seemed worth the red tape involved in applying for the funds.

The JJDP Act authorized a separate Office for Juvenile Affairs within the LEAA network which would evaluate all federally assisted juvenile delinquency programs, provide technical assistance to public and private agencies, institutions, and individuals in developing and implementing juvenile programs; establish training programs for persons, including professionals, paraprofessionals, and *volunteers*; develop the implementation of national standards for the administration of juvenile justice; assist states and local communities with resources to develop and implement programs to keep students in elementary and secondary schools and to prevent unwarranted and arbitrary suspensions and expulsions; and establish a federal assistance program to deal with the problems of runaway youth (Runaway Youth Act is Title III of the JJDP Act).

The policy underlying this act is that federal efforts should be increased in the areas of prevention and alternative programs to institutionalization. The act encourages creative efforts to keep youth out of the criminal justice system and also citizen participation in policymaking and planning through representation on all level planning councils. (The above information was taken from the JJDP Act of 1974, or P.O. 93-415.)

JJDP 74 monies were divided into two categories, those allocated to states through the block grants and those left to the jurisdiction of the federal government in a direct grant approach for special emphasis programs. States must prepare plans which comply with the requirements of the act before they can receive funds. Thirteen states have chosen not to participate in the block grant portion of the program because of the problems of complying with the guidelines. The special programs monies should be available to all

states, even if the states are not receiving funds in a block. Participating states must have a special advisory committee to plan priorities and recommend programs to be funded under the act.

Special emphasis funds will be distributed in 1977 to the following priority programs: juvenile gangs, restitution to victims of juvenile crime, violent offenders, learning disabilities, and delinquency prevention.

Objections to the act center around three areas: 1) low level of appropriation of funds, 2) non-participation of thirteen states, 3) hassle between the Justice Department and the Department of Health, Education and Welfare as to which department should have jurisdiction over juvenile programs. (The Runaway Youth portion of the act is administered by HEW.)

As discussed earlier, past administrations have not felt that new juvenile programs needed the funding requested by the JJDP Act. However, the sponsors of the bill, Senator Birch Bayh, Senator Marlow Cook, and Congressman Thomas Railsback have argued that monies over and above existing programs are needed to aid the understaffed, overcrowded courts, probation services, and protective facilities. The General Accounting Office has been gathering data for several months to present to the April hearings.

The complaints of the nonparticipating states center around the requirements for state plan acceptance by the federal government. Many small states feel that the guidelines are too rigid and favor the states with larger populations. The main stumbling block is the requirement that state plans must show that all status offenders will be removed from detention facilities and placed in shelter facilities within two years. This provision requires code changes in many states and large money outlays to provide alternate services. The money available to the states under the present formula (\$200,000 mini-

mum) does not warrant the increased expenditures needed just to comply with the act.

On the other hand, many states are now updating their codes and slowly changing their thinking regarding incarceration of juvenile status offenders. These progressive efforts were definitely encouraged by the passage of the JJDP Act.

A second guideline which is expensive for small states is the one that provides that delinquent youth will not be detained in any institution where they have regular contact with adult offenders. Many rural counties in our country place children with adults because there are no alternatives, and these same counties do not have the funds to build separate facilities. It also provides that status offenders can not be in the same institution as delinquent youth.

When the JJDP Act was passed, it was designed to pull together many programs into the Justice Department that had been under HEW. There is disagreement among the bureaucrats and legislators as to where the juvenile prevention programs belong. HEW argues that since juvenile delinquent programs involve family counseling, group homes, diversion programs, and other social agency type activities, these programs should be outside of the criminal justice network and under HEW. The JJDP Office people feel that they can be more efficient with the money and coordinate efforts better under LEAA. The new administration's policy toward youth and government efficiency will probably determine the final resting place for juvenile justice programs. (Sources on JJDP Act include testimony by Birch Bayh in *Congressional Record*, February 8, 1973, the Act itself, information from the West Virginia State Planning Committee, a letter from Governor Holshouser of North Carolina to the members of the Advisory Council on Juvenile Justice and Prevention.)

Appendix II

Glossary

Absconder. the parole term for a person who flees to avoid parole custody. Sometimes referred to as escapees or runaways from juvenile institutions.

Accusation. a formal charge against a person for a punishable offense.

Accused. the generic name for the defendant in a criminal case.

Acquittal. a setting free from the charge of an offense by verdict, sentence, or other legal process.

Adjudication. the process of determining guilt or innocence by judicial procedure.

Adjudicatory Hearing. the judicial hearing at which guilt or innocence is determined, whether by guilty plea, jury trial, or court trial.

Adjustment Committee. the committee reviewing the cases of inmates who have been involved in serious violations of institutional regulations and procedures.

Administrative Segregation. the practice of placing an inmate in solitary confinement or under very close supervision because of rule violation or for self-protection.

Advisement. the process of informing an individual of his rights.

Advocate. one who assists, defends, or pleads for another.

Affidavit. a written or printed declaration or statement of facts, taken before an officer having authority to administer oaths.

Aftercare. the term equivalent to "parole" which is applied to juveniles for the follow-up provided them after release from an institution.

Alternative Programs. programs for offenders in the community in lieu of confinement.

Amicus Curiae. a friend of the court: a brief filed by someone not a party to the suit.

Appearance Bond. a bail bond in which the only obligation is for the principal to appear in court on the day set for trial.

Apprehension. the seizure or arrest of a person.

Arraignment. a court procedure at which the defendant is informed of charges against him and is given the opportunity to enter a plea.

Arrest. the taking of a person into custody to answer an alleged criminal charge.

Assault. the intentioned and unlawful use of a force by one person upon another. If severe bodily harm is inflicted or a weapon is used, the offense is aggravated assault.

Bail. the process of gaining the release of a person

from legal custody by assuring that he appear at the time and place designated and submit himself to the jurisdiction and judgment of the court.

Bail Bond. a bond posted by a defendant to guarantee that the defendant will appear to answer the legal charges. The legal theory underlying this procedure is that the bail bond will be sufficient to insure the appearance of the defendant at trial.

Bench Warrant. a warrant from the court itself to achieve the court appearance of a defendant in a pending criminal action.

Bona Fide. in good faith.

Bondsman. a specialized businessman who posts bond for the full bail amount, charging the individual a percentage fee (usually between 10 and 20 percent).

Booking. to formally record charges against a person at the police station or receiving desk of county jail.

Chronic Offender. a person who commits serious crimes frequently.

Citation. a summons; an official notice to appear in court.

Cite. to summon, to command the presence of a person, to notify a person of legal proceedings against him and require his presence thereto.

Classification. term used in correctional institutions; the diagnosis and assessment of prisoners used to determine their custody and program assignments.

Clemency. disposition to be merciful; act or instance of leniency, usually exercised by a governor or the President.

Commit. the process of sending a person to prison by virtue of any lawful authority, for any crime or contempt, or to an asylum, reformatory, or the like, by authority of a court or magistrate.

Commitment Paper. the warrant by which a court or magistrate directs an officer to take a person to prison.

Commute. to lessen (usually a sentence).

Complaint. a charge preferred before a magistrate having jurisdiction that a person named has committed a specified offense. Usually the first document filed in a court charging the offense.

Concurrent. running together, simultaneous. Concurrent sentences run at the same time; each day served by the prisoner is credited on each of the sentences.

Conditional Release. release from confinement from a correctional facility subject to specific conditions under supervision, usually based on earned good time.

Consecutive. following immediately. Consecutive sentences are served one after the other.

Contempt. a willful disregard or disobedience of a public authority.

Contempt of Court. any act which is calculated to embarrass, hinder, or obstruct justice, or which is calculated to lessen its authority or dignity.

Contraband. any material object which is unlawful for an individual to possess. Usually referred to as material not permitted to be in possession of prisoners.

Conviction. the result of a criminal trial which ends in a judgment or sentence that the person is guilty as charged.

Correction Officer. a peace officer who supervises inmates in a correctional facility.

Court Docket. the schedule of cases being heard before the commissioner, referee, or judge.

Crime Index. The seven-part offenses (criminal homicide, forcible rape, robbery, aggravated assault, burglary — breaking or entering, larceny — theft (except motor vehicle theft), motor vehicle theft) on which the F.B.I. collects statistics to use as an indicator of crime in the U.S.

Criminal. one who has committed a criminal offense; one who has been legally convicted of a crime; one adjudged guilty of a crime.

Criminal Charge. an accusation of crime in a written complaint, information, or indictment.

Criminal Intent. an intent to commit a crime; malice, as evidenced by a criminal act; an intent to deprive or defraud the true owner of his property.

Criminal Procedure. a method for the apprehension, trial, prosecution, and fixing of punishment for persons who have broken the law.

Custody. to have in one's possession under legal authority.

Decriminalize. to remove from criminal and juvenile codes and local ordinances certain offenses, such as drunkenness, which are not injurious to others nor deprive others of property.

Defendant. the person defending or denying; the party against whom relief or recovery is sought in an action or suit. In criminal law, the party charged with a crime.

Defense. (old spelling, "defence") in a criminal action, the answer made by the defendant to the state's case.

Defense Attorney. the attorney representing the accused in a criminal action.

Deferred Sentence. deferred plea, deferred prosecution. A form of probation in which the court delays sentencing for a period of time, permitting the defendant to go into the community under probationary supervision.

Delinquency. law violations as defined specifically for children under an established age. Includes

offenses that are crimes if committed by adults as well as noncriminal behavior peculiar to children, such as truancy or running away.

Deserter, Desertion of Probation. a probationer who has failed to report to the probation officer as required and who cannot be located at his last address; also referred to as an absconder.

Detainer. a warrant "hold order" filed against an individual which effectively bars release from custody even when bail has been obtained.

Detention. temporary incarceration of an individual pending court action.

Detention Care. the temporary care of a child in "secure custody" pending disposition of his case in court.

Detention Hearing. a hearing to determine whether an individual shall be detained or released prior to or pending execution of a final dispositional order.

Discharge. release from probation, parole or confinement.

Disposition. formal action of the court or parole board.

Dispositional Hearing. the sentencing phase of the judicial process.

District Attorney. a county official responsible for the prosecution of individuals accused of crimes committed in that jurisdiction.

Diversion. programs which are specifically designed to keep individuals from entering the criminal justice system.

Due Process. fundamental rights of the accused to a fair trial, and all safeguards and protections given to one accused of committing a crime.

Ex Post Facto. after the fact.

Extradition. the surrender of an alleged criminal, usually under the provisions of a treaty or statute by one state or authority to another having jurisdiction to try the charge.

Felon Institution. residential facilities generally called reformatories, prisons, penitentiaries, or correctional institutions, for the confinement and treatment of convicted adult offenders under felony sentences.

Felony. a major crime usually punishable by confinement in state correctional institution for one year or more. Each state will have its own definition of a felony, but felonies are always crimes of graver or more serious natures than those designated as misdemeanors.

Foster Care. placement of a child in a family home where the child participates as a member of the family. Foster parents assume the role of parents. They are usually paid by an agency for this service. Some people serve as foster parents without pay.

Furlough. the granting of leave from a correctional facility, usually for one of the following reasons: a) seeking employment; b) maintaining family ties;

c) solving family problems; d) attending short-term educational or vocational courses.

Good Time. a deduction from an inmate's term of imprisonment for good behavior.

Grand Jury. a special, large jury composed of community citizens empowered to investigate and to decide whether criminal indictments should be issued, and/or to investigate the operations of governmental units.

Group Home. a home, usually operated by an agency, in which a number of individuals live and are provided care.

Guardian. a person appointed by the court to stand in place of a child's parents.

Guardian Ad Litem. a person, usually an attorney, appointed to protect the interests of a party in a juvenile court proceeding.

Halfway House. a temporary home for persons released from institutions, which allows the individual a period of readjustment to community life. Some communities have halfway houses that provide care for a person in lieu of institutional care; some serve special groups such as alcoholics.

Hearing. any portion of a proceeding before the court.

Incarcerated. confined to a penal institution.

Incorrigible. unmanageable, beyond the control of parents, chargeable under juvenile codes.

Indeterminate Sentence. a sentence which is not precisely fixed or determined (e.g. 5-15 years).

Index Crimes. the crimes used by the Federal Bureau of Investigation in reporting the incidence of crime in the U.S. in the Uniform Crime Reports. The statistics on the Index Crimes are taken as a measure of the incidence of crime in the U.S.

Indictment. a formal written statement formed by a prosecuting authority and substantiated by a grand jury charging a person with a criminal offense.

Intake. the screening process used in juvenile courts and/or juvenile probation departments, during which it is determined whether a case should be accepted, rejected, or referred to another agency. If the case is accepted, intake determines whether a petition should be filed, whether the child should be referred for administrative supervision, and whether detention is necessary.

Interstate Compact. an agreement between the states by which each state agrees to accept the parolees and probationers of other states for supervision, under certain circumstances.

Jurisdiction. 1) the limits of authority of a criminal justice agency by geographic criteria, by age of clientele, or by type of offense; 2) the power conferred upon a court to hear certain cases.

Juvenile. a legal term designating a person under the legal age of adulthood (Specific age varies by state).

Juvenile Code. that body of law which establishes and governs the juvenile court.

Juvenile Court. a special court which hears cases of children charged with having committed either a felony or a misdemeanor or engaging in an activity injurious to their own welfare, or who are said to be neglected.

Juvenile Detention. the temporary care of children in physically restricted facilities, usually referred to as detention centers, pending court disposition or transfer to another jurisdiction or agency.

Juvenile Institution. a residential facility, often called a training school, for the treatment of children who have been found to be delinquent by a court and who have been committed to the institution.

Juvenile Officer. a police officer whose primary function is to work with offending youth.

Larceny. the intent to deprive another of the use of property or to appropriate the same; wrongfully taking, obtaining, or withholding money or property.

Law Enforcement. a term which collectively describes one aspect of police services.

Legal Custody. those rights and responsibilities associated with the day-to-day care of the child. The person who has legal custody of a child may be the parent, the juvenile court, a foster home, a relative of the family, or someone designated by the court such as a state agency.

Lock-Up. detention facility, jail.

Malicious Mischief. a misdemeanor such as changing a signpost on a highway, injuring or destroying property, sending false alarms, usually applied to juveniles.

Manslaughter. the lowest degree of culpable homicide, death caused by culpable recklessness or negligence.

Maximum Expiration. the date on which an individual's sentence ends.

Maximum Security. a classification term to designate the highest degree of security provided for prisoners.

Minor. a person or infant who is under the age of legal competence; age varies by state.

Miranda Warning. the warning which must be given to the suspect whenever suspicion focuses upon him. The officer must warn the suspect 1) that he has a right to remain silent; 2) that if he talks anything he says may be used against him; 3) that he has a right to be represented by counsel and the right to have counsel present at all questioning; and 4) that if he is too poor to afford counsel, counsel will be provided for him at state expense.

Misdemeanor. a minor offense as defined by state law and municipal ordinances. Depends on the state's definition of felony. For example, if the state law defines the theft of an item worth \$100 as a felony, then the theft of an item worth less than \$100 is a misdemeanor. Most crimes without victims are misdemeanors, and are punishable by a fine of not more than \$100 or by imprisonment for not more than one year, or both.

Modification. a court action to change an earlier sentence; in probation, a court action to change the conditions of probation.

Morrissey Decision. an opinion of the U.S. Supreme Court which guarantees a person due process in parole revocation matters. The due process rights include: advance notice, right to a hearing, right of confrontation of adverse witnesses, right to be present and refute evidence, limited right to counsel, and right to written summary of the hearing with results for the decision.

Neglected Child. any child a) who is abandoned by his parents, guardian, or custodian; b) who lacks proper parental care because of the faults or habits of his parents, guardian, or custodian; c) whose parents, guardian, or custodian neglect or refuse to provide him with proper or necessary subsistence, education, medical or surgical care, or other care necessary for his health, morals, or well-being; or d) whose parents, guardian, or custodian neglect or refuse to provide the special care made necessary by his mental condition.

Pardon. an act of grace which exempts the individual on whom it is bestowed from the punishment the law inflicts for the crime he has committed. Usually bestowed by chief executive (i.e., governor, President).

Parole. method of releasing an offender from an institution prior to completion of his maximum sentence, subject to conditions specified by the paroling authority. The offender is still in legal custody.

Parole Agency. the organization that completes preparole investigations, supervises parolees, and makes recommendations regarding modifications of conditions of parole, revocation, and discharge.

Parole Board. the formal body charged by law with the authority and responsibility of paroling inmates from correctional facilities; also responsible for revoking the parole or unconditional release of persons who are in violation of the rules and regulations and/or commit an additional offense.

Parole Officer. an officer specifically charged with the supervision of inmates who are released from correctional facilities via parole or some other form of conditional release.

Paroling Authority. the body authorized by statute to grant or revoke parole.

Petition. the legal document used by juvenile courts to specify the details of an alleged delinquent act or that the child is dependent or neglected.

Plea. the original answer by the defendant to the accusation against him, usually either "guilty" or "not guilty."

Plea Bargaining. an arrangement whereby a defendant enters a plea of guilty to a lesser offense in return for dropping the original charge and imposing a lighter sentence.

Plea of Nolo Contendere — a plea which has the same effect in a criminal action as a plea of guilty, but does not bind the defendant in a civil suit for the same wrong. Literally, no contest.

Pre-adjudication. prior to trial.

Preliminary Hearing. the initial magistrate court session at which the judge decides whether an offense has been committed and whether there is sufficient evidence to warrant holding a trial.

Pre-Release Center. a minimum security facility designed to be a close link to better transition into a community. Usually situated in an urban area for better access to work possibilities and other community facilities.

Pre-Sentence Report. a background investigation conducted by a probation department following an individual's conviction of a crime.

Pre-Trial Intervention. a program designed to provide a rapid rehabilitation response for young first-offenders following arrest, but prior to trial, conviction, and sentencing. The court suspends prosecution for a specific period and places offenders into a program of counseling, training, and employment assistance. Successful participation results in dismissal of charges and thus avoids the stigma of a criminal record.

Prima Facie. a case developed with evidence such as will suffice until contradicted and overcome by other evidence.

Probable Cause. sufficient reason, based on a legal examination of facts, to detain an individual or to cause a petition to be filed.

Probation. a legal status granted by a court whereby, in lieu of confinement, a convicted person is permitted to remain in the community subject to conditions specified by the court.

Probation Agency/Department. the organization that conducts prehearing or presentence investigations, supervises probationers, and makes recommendations regarding modifications of probation conditions, revocations, and discharge.

Probation Officer. the person who provides supervision and services to offenders placed on probation by the court.

Prosecution. the process by which the state puts forth its evidence against a defendant.

Prosecutor. one who prosecutes another for a crime in the name of the government.

Protective Supervision. a status under which a child who has been found by a court to be neglected is permitted to remain in his own home for a period during which the court or welfare offers his parents casework help.

Public Defender. a publicly appointed attorney responsible for the defense of indigent persons accused of crimes.

Reception Center. a correctional facility which is designated to receive new inmates in order to evaluate them and determine their place of confinement.

Recidivism. the term used to express the percentage of return to criminal activity of persons previously convicted of crimes.

Recidivist. repeat offender. A child's second referral to a juvenile court makes him a recidivist. An adult's second arrest makes him a recidivist. Many agencies define success in low recidivist rates, but knowledgeable persons do not readily accept such data unless the term, as used statistically, is clearly defined.

Referee. in some states the person to whom a juvenile court judge may refer cases for hearing. The powers of the referee are usually prescribed by law and in most states the referee is not empowered to make a final order. Principal function is to act as a hearing officer, to reduce testimony to findings of fact, and to make a recommendation as to the disposition. The recommendation as to disposition may be modified, approved, or disapproved by the judge, but when approved or modified it becomes the order of the court.

Reformatory. a correctional facility for younger offenders which specializes in intensive vocational and educational rehabilitation.

Release on Recognizance. the release of a defendant in a criminal action or proceeding by the court in his own custody. Similar to bail except that no money is involved. If a person has sufficient roots in the community to insure that he will return for trial and if the judge agrees, he is released on his own recognizance.

Remand. to send a prisoner or defendant back into custody to await trial or further investigation; to send a case back to a lower court for additional proceedings.

Remittance of Fine. a court-ordered modification cancelling a fine imposed previously; a motion usually submitted in cases where payment of the fine would involve considerable hardship to the defendant.

Residential Treatment Centers. noncustodial institutions located in the community which provide programs for certain types of offenders.

Restitution. reimbursement to the victim of a crime for loss or for expenses incurred because of the crime; often imposed upon the offender as a condition of probation.

Revocation. the decision to withdraw probation, parole, or other privileges; an action initiated by the probation/parole officer, the district attorney, or the court for a variety of reasons, frequently because of a new crime.

Runaway. a juvenile offense; also a juvenile offender who has run away from home.

Sentence. the judgment formally pronounced by the court upon the defendant after conviction awarding the punishment.

Shelter Care. the care of a child in a nonsecurity or open-type facility pending disposition of his case by the court.

Show Cause. an order to appear as directed and present to the court reasons and considerations as to why certain circumstances should be continued, permitted, or prohibited, as the case may be.

Stay of Imposition, Stayed Sentence. a court order which withholds the sentence of an offender to allow him to demonstrate his ability to function in the community.

Strip Cell. a cell used for solitary confinement which contains few furnishings.

Subpoena. a writ issued by a judge commanding an individual to appear before the court under penalty for failure to do so.

Subsidy. state funds granted to probation departments to enhance their services and reduce case-loads, contingent upon reduced institutional commitments.

Summons. a writ directed to the sheriff or other proper official to notify the defendant that an action has been instituted against him and that he is required to answer it in court.

Supervision. any supervision of an offender in the community by a probation officer or parole agent.

Supervision, Informal. the supervision of juveniles for whom petitions have not been filed and who will not be handled judicially in court.

Supplemental Probation Report. a report by the probation officer requested by the court, describing the probationer's progress or giving any other requested information; usually requested in cases where probation is to be terminated or has been revoked and the probationer is before the court to be sentenced.

Suspect. to have a slight or even vague idea concerning, not necessarily involving, knowledge or belief of likelihood. Is sometimes used in place of the word "believe." Also, a person who is suspected of having committed an offense, or who is believed to have committed an offense.

Suspended Sentence. a sentence of incarceration which has been stayed by the court, contingent upon conditions such as probation.

Termination of Probation Early. a court action to end probation early because of good performance on probation, a motion submitted to the court by the probation department or by a private attorney.

Trial. the judicial process which presents all evidence for the final determination of guilt or innocence; the formal examination before a competent tribunal of the matter in issue in a civil or criminal case in order to determine such issue.

Unruly Child. one who does not subject himself to the reasonable control of his parents, teachers, guardian, or custodian, by reason of being wayward or habitually disobedient.

Vacate Order. an order entered by the court which cancels an earlier court order.

Victimless Crime. a criminal act, such as drunkenness, which does not injure anyone other than the person who commits it.

Violation. breach of right, duty, or law. In parole, the breaching of the rules and regulations governing parole, which may result in revocation and return to a correctional facility.

Waiver. a voluntary decision by a defendant to eliminate a hearing, legal counsel, or some other procedure.

Ward of the Court. a child over whom the court assumes continuing jurisdiction.

Ward Grievance Procedure. process through which an incarcerated offender has the right to file a complaint against the staff, institution, or agency and to receive a written response to that complaint. There is also a right to appeal the

decision to an outside arbitrator who does not work for the department, and who will render an advisory opinion to the superintendent or to the director regarding the grievance.

Warrant. an order for the arrest of an individual.

Writ of Habeas Corpus. a writ directed to a person detaining another and commanding him to produce the body of the prisoner or person detained.

Work Furlough. a program in which an institutionalized offender is released daily to work in the community and is locked up overnight.

Youthful Offender. younger offenders beyond jurisdiction of the juvenile court — generally 18-22 years of age. The primary purpose of the youthful offender process is the avoidance of the stigma and practical consequences of conviction of a crime.

Chapter 3

Volunteer Roles

and

Action Alternatives

Our country was born via citizen participation and voluntary activities, and to a large extent the continuing vitality and dynamism of American society is based on the feeling of most Americans that they can, and should, take an active role in determining how their society functions.

The problems of crime should be no exception to this general rule, despite recent tendencies to restrict responsibilities for crime prevention to criminal justice personnel. Crime — whether it is viewed as a social illness or the result of personal, moral failings — is a perversion of human liberty that demands the thoughtful attention of the citizenry.

Interestingly, there is historical precedent, as well as a theoretical basis, for the kind of citizen action this book envisions. Citizens in the past played crucial roles in developing the present form of our criminal justice system before turning it over to the specialists. Over 150 years ago the Philadelphia Society for Alleviating the Misery of Public Prisoners initiated a program of supervision for persons released from prison and in so doing introduced the concept of parole. A Boston cobbler, John Augustus, is credited with having pioneered probation in 1841 when he paid the bail of a convicted drunkard and put him to work to help him regain his sobriety and productivity.

As was stated in *A Call For Citizen Action: Crime Prevention and the Citizen*¹:

Crime prevention as each citizen's duty is not a new idea. In the early days of law enforcement, well over a thousand years ago, the peacekeeping system encouraged the concept of mutual responsibility. Each individual was responsible not only for his actions but for those of his neighbors. A citizen observing a crime had the duty to rouse his neighbors and pursue the criminal. Peace was kept, for the most part, not by officials, but by the whole community.

With the rise of specialization, citizens began to delegate their personal law enforcement responsibilities by paying others to assume peacekeeping duties. Law enforcement evolved into a multifaceted specialty as citizens relinquished more of their crime prevention activities. But the benefits of specialization are not unlimited. Criminal justice professionals readily and repeatedly admit that, in the absence of citizen assistance, neither more manpower, nor improved technology, nor additional money will enable law enforcement to shoulder the monumental burden of combating crime in America.

The need today is for a more balanced allocation of law enforcement duties between specialists and citizenry — for citizens to reassume many of their discarded crime prevention responsibilities.

But what do they *do* when they "get involved"? The need for volunteers and the range of services that they can offer the criminal justice system are unlimited. Volunteers can do everything that salaried workers — professionals — do plus much more, frequently having more to give than system officials and workers are ready to receive.

In the recent past, the system's interest in and receptivity to volunteer involvement largely forged the nature and range of volunteer opportunities for working in the criminal justice system. Today, more and more citizens are seeking to address social problems on their own initiative. They are directing their own efforts rather than only volunteering their time to services that system representatives believe are valuable. Citizens are developing alternatives to and within the formal criminal justice system as well as initiating efforts to upgrade existing programs and activities. Voluntary activism, where volunteers play a more fundamental role in charting their responses to community needs, portends a rewarding and challenging future

for the interested volunteer. Along with the excitement and promise of such autonomy goes the obligation for a well-planned, reasoned approach to decision making and action. The purpose of this book is to assist in meeting this responsibility.

Three general areas for citizen-initiated criminal justice programs will be examined in this chapter: crime prevention, diversion of offenders from the system, and enrichment of the system. The process of determining the best voluntary involvement is an extremely important one. The most desirable approach is to consider criminal justice programming as a regular, on-going involvement. This does not imply a criminal justice project but an ongoing commitment with a series of activities. After initiating your involvement and developing your first project, future efforts will be much easier and probably much more meaningful. While not wishing to encourage a transient involvement, for those of you who are unable to make a long-term commitment but who wish to initiate a single well-functioning program, there are also many opportunities. But as Francis L. Dale, then chairman of the National Council on Crime and Delinquency, pointed out at the IMPACT Institute:

I am aware that some of you want projects like that, and you could check them off, but please don't be satisfied with that. You're not here to get that list. What we're here to try to inspire you to do is to go home to your community and to make a plan for your community, that fits your community and your community alone. And then you must be certain to understand that success in this field is not a destination, success is a journey. And the journey is not going to be over next year, or two years from now. NCCD has been on the journey for sixty years, and others have been on it longer. It will not be solved; it will only be improved, you see. And so keep in mind that you are being grabbed by something that may grab you the rest of your life, because of the opportunity that you have.²

Action Strategies

Six major strategies applicable to many types of criminal justice programs are research, public education, issue-oriented advocacy, client advocacy, provision of services, and monitoring. These strategies may be used alone, in combination, or in a progression, depending upon your goals, needs, and resources. Briefly

explicated below, they are addressed in more depth in subsequent chapters. For an interesting presentation on how these strategies have been used to develop and provide community-based services to youth, see the National Council of Jewish Women's (NCJW) *Symposium on Status Offenders: Manual for Action*.³ This book discusses applied action strategies, problems which confront community groups in their efforts to design and implement action programs, and suggestions for overcoming such obstacles. Examples of three projects undertaken by NCJW sections are provided as detailed illustrations.

Research

As will be discussed in Chapter 5, a research or need assessment stage is needed as preliminary groundwork for almost any type of involvement, whether it be public education, advocacy, service delivery, or monitoring. In addition, research can be the major focus of a project in which, for example, volunteers identify what services are needed by whom and what services are presently provided by whom to whom. Without a comprehensive directory of services, local agencies are handicapped when making referrals and are more likely to develop programs which duplicate services already available.

Research is also needed to determine the effectiveness of alternative treatment programs and practices. Since criminology is a field which combines and borrows from several areas of learning (psychology, sociology, public administration, and theology), there are great differences of opinion among criminologists about how offenders should be rehabilitated. Theories will be proven and successful programs developed only after the necessary time is spent in research and experimentation. Yet, as LaMar Empey so aptly put it:

Because of the pressing need for solutions, there is always a tendency for those who need solutions to believe that answers may already exist and only need to be disseminated. Having adopted this stance, they are anxious for descriptive analyses which spell out action implications without any attention to the complex theoretical and scientific issues involved.⁴

Volunteers may make significant contributions to the criminal justice system through research-oriented efforts. They may implement and evaluate innovative programs, assist system officials in planning new programs,

research practices which appear successful in other jurisdictions to determine their local applicability, and evaluate old and new criminal justice programs. For other information related to the research strategy see Chapters 5, 6, 8, and 10.

Public Education

Since the causes of crime and delinquency and many problems encountered by the criminal justice system emanate from the community, successful preventive and rehabilitative efforts depend upon community understanding and support. Thus, regardless of the major emphasis of your involvement, a community education component will be necessary. It would be difficult to operate a direct service program or to become deeply involved in serving troubled people without being moved to inform others about the need for basic changes in the criminal justice system and related community institutions. Public education is so crucial that it might be a project within itself. Attempts may be made to mobilize broad-scale citizen awareness of the community problems manifested by the criminal justice system and the need for changes. Or efforts may be concentrated on specific groups such as the community power structure, elected officials, or system officials who may be so inundated by the trees that they can't see the forest.

Volunteers may interpret agency problems to the community. Local residents frequently oppose the establishment of community-based facilities and programs in their neighborhoods. System officials, as outsiders, are not generally equipped to counter such community resistance.

While community education may be a prerequisite for getting the support (money, information, volunteers, etc.) needed for specific criminal justice projects, the development of an informed and cooperative spirit among local groups can be much more valuable to the ongoing life of the community than the accomplishment of any particular program objectives.

There are many approaches to community education: conferences, workshops, meetings, speakers bureaus, media campaigns, etc. Chapter 15 analyzes the support to be obtained and the obstacles to be avoided through community education, along with a discussion of particular groups to include. Chapter 16 presents guidelines for establishing an effective public relations program.

Issue-Oriented Advocacy

Issue-oriented or class advocacy is directed

toward changing policies, regulations, procedures, laws, attitudes, or unwritten practices which lead to delinquency or deter attempts to rehabilitate offenders by depriving people of their rights and of services that could meet their needs. The goal of issue-oriented advocacy is permanent systems change on either the local, state, regional, or national level. It may focus upon criminal codes and laws, court procedures, police procedures, detention practices, correctional programs, educational practices, welfare regulations, health care, housing conditions, and so on. Objectives for advocacy efforts might be decriminalization of behaviors currently classified as status offenses and victimless crimes; deinstitutionalization of juveniles, misdemeanants, and others; increased use of diversion; or enhancement of criminal justice system activities bringing them in line with recognized national standards.

Systems change through advocacy may be your criminal justice project or advocacy may be used to protect another type of project. Frequently the survival of innovative and desirable alternative programs depends upon the political savvy of the sponsoring groups and its willingness to advocate.

The three principal advocacy strategies are administrative persuasion, legislative action, and litigation. The means for implementing these strategies are discussed in Chapter 17 and include: lobbying in support of or in opposition to proposed legislation; monitoring the implementation of laws and agency programs; coalition building; negotiating; operating observer corps; organizing and influencing public hearings; forming delegations; running election campaigns; and organizing mass expressions of support or opposition as with letter writing or telephone campaigns, petitions, and demonstrations.

Client Advocacy

Client-centered or individual advocacy addresses the needs and problems of an individual client or a group of clients. Central to many preventive, diversionary, and criminal justice enrichment programs, client advocacy is premised upon the recognition that many citizens — particularly troubled, poor, and uneducated ones — are unable to cope with unresponsive bureaucracies and need assistance in securing the consideration and services required for a healthy life. The objective of such advocacy efforts is to provide for a more responsive, relevant, and effective delivery of services in a particular case — the client's. General

problems and issues detected through client advocacy pave the way for issue or class advocacy.

As the movement toward diversion and community-based corrections increases, so will the importance of client advocacy. Programs will be needed to follow offenders through the maze of social service referrals and to intervene when necessary to assure that their needs are being met.

The unique qualifications of a volunteer are especially suited to client advocacy. A volunteer can more easily question the practices of an agency in regard to an individual client than can a member of that agency's staff or a staff person from another agency. Voluntary efforts are needed to locate appropriate services for offenders, to follow offenders through referrals to agencies, and to interview clients to determine which services were actually provided, how adequate the client considers these services, and the client's recommendations for service improvement.

Although most frequently practiced in behalf of youth, client advocacy is also needed for adult offenders.

Provision of Services

Many consider the provision of services as the essence of voluntary involvement in criminal justice. Direct service programs rendering face-to-face services to clients may take many forms: residential treatment facilities, day care centers, youth service bureaus, counseling programs, etc. Volunteers may serve as unpaid staff in the ongoing operations of system components by either providing supplementary services or by assuming primary case responsibilities, as with volunteer probation officers. They may initiate or sponsor alternative programs desired by system officials but for which they do not have adequate resources. Or volunteers may serve a catalytic role by establishing and operating demonstration projects in the hope of encouraging system officials to adopt innovative programs. Careful consideration must be given to obtaining seed money to initiate a new program or agency with the intent that it will be taken over by the community after it has been proven to meet a need. Many communities are on the verge of bankruptcy and cannot afford to absorb new programs no matter how worthy they are — unless they are to replace existing, less-effective programs. Thus, when planning demonstration programs, it is essential to build in an evaluation component.

The goal of a direct service program may be prevention, diversion, or offender habilitation. There are numerous treatment methods — e.g., guided group interaction, behavior modification, transactional analysis, reality therapy — which should be carefully researched before determining the best approach for a new program.

Monitoring

Increasingly, citizen groups are monitoring the operations of criminal justice and other community agencies and appointments to public policy-making boards and committees. Monitoring may both precede and follow other efforts, e.g., research, advocacy, service delivery. Initially it may be used to obtain information on how programs are operated, on governmental procedures, and on new action possibilities. The information obtained through monitoring can be used to document proposals for reform. Frequently the mere presence of citizen observers encourages officials to become more conscientious in their work. After desired policy changes are obtained or new programs established, ongoing monitoring is needed to assure that programs are implemented as planned. Legislative intent is frequently thwarted by administrative interpretation and administrative intent may be blocked by resistant staff. The goal of monitoring is not just to uncover what is happening, but also to determine why, so that you can take appropriate action to correct problems.

The need for system monitoring is great, and a role that can best be filled by volunteers. Chapter 17 presents guidelines for operating observer corps and monitoring.

Program Areas

Three major areas of criminal justice involvement are crime prevention, diversion, and improving the effectiveness of the criminal justice system through enrichment and change. The six action strategies — research, public education, provision of services, client advocacy, issue advocacy, and monitoring — may be used individually or in combination to develop a project in these areas. You may, for example, use the strategies in developing programs that seek to prevent crime, or that seek to divert people away from a system with many inherent faults, or that seek to make the system deal more effectively with the people it gets. Any one project may overlap several of these areas. A diversionary program may have crime pre-

vention as a goal, system change as a prerequisite, individual advocacy as a program strategy or activity, and systems enrichment as a side effect.

The following discussion of program types gives an overview of the range of volunteer opportunities. Specific action plans on how to develop the program discussed are not included since detail must be a function of local conditions. While the following chapters provide guidelines on how to plan and implement any type of project in the criminal justice arena, you must draw your own blueprints for action.

Prevention

Most criminal justice programs are concerned ultimately with crime prevention. When the distinction is made between primary or pure prevention and secondary or rehabilitative prevention, most efforts fall within the latter category. Here we are emphasizing primary prevention which attempts to prevent crime and delinquency before they occur. Diversion and system enrichment address secondary prevention which focuses on the individual who has already come into contact with the criminal justice system and attempts to deter future delinquent or criminal behavior.

Prevention programs may be aimed directly at people who can be identified as being under severe stress which, if not relieved, is likely to lead to criminal behavior and to their eventual arrest — for example, troubled children identified by school authorities as prime suspects for an eventual clash with the law, or youth from poor neighborhoods with extremely high arrest rates. Many past prevention efforts may have led to greater, not less, criminal activity when the "predelinquent" label became a self-fulfilling prophecy. In addition to those prevention efforts geared toward identifiable target groups are those directed toward the general upgrading of societal institutions and social conditions. Where resources are limited, prevention efforts may best be directed toward those who most need assistance, but they should not further stigmatize the very people that they are attempting to help.

Prevention programs may attack the infrastructure of crime, i.e., those environmental conditions that are thought to cause crime. Such efforts aim at increasing the employability of the jobless, furthering the education of the dropout, providing recreational and other constructive activities for youth, supplying medical treatment for the alcoholic and drug addict, providing low-income housing for the poor, or improving family situations.

Since there is such a high correlation between school dropouts and crime, and since many children encounter their first serious difficulties in school, improving school opportunities is seen as a major avenue for prevention. Citizens have initiated many school-related programs, including tutorials, alternative educational opportunities (e.g., street academies, vocational programs, or special classes), preschool training, neighborhood councils to advise school administrators, scholarship funds, and counseling for youth on pregnancy, drug abuse, family breakdown, employment, etc. Other volunteers have prepared relevant instructional material, sponsored field trips, and assisted teachers in the classroom.

Providing job counseling, training, and employment opportunities for the disadvantaged is another primary prevention emphasis. Citizen groups have encouraged businesses and other employers to hire disadvantaged youth for summer and part-time jobs during the school year. "Hire first, train later" and "Rent-a-Kid" programs have been promoted. Volunteers may help to prepare the chronically unemployed and underemployed for jobs, to secure job opportunities for them, and then to provide ongoing support to them.

Citizen organizations have been active in planning, operating, and funding recreational opportunities for disadvantaged youth. "Send a Kid to Camp," Big Sister, and Big Brother programs have been popular. Parks have been built in crowded urban areas. Combining recreational and educational opportunities, citizen groups have provided organized special interest programs, focusing on music, dance, the environment, crafts, car repair, aviation, etc.

Outreach and counseling programs have been developed in many locales to advise on a wide array of problems. Outreach workers attempt to establish relationships with alienated youths and adults, to assess their needs, and to directly respond to these needs or link them with the appropriate resources. Drop-in centers, hotline counseling, and small group activity clubs have been developed by volunteers in many cities. Frequently the desire for anonymity, as with drug-related problems, has placed hotline counseling or other crisis intervention by telephone programs in great demand.

Another type of prevention, mechanical prevention, does not address the infrastructure of crime. Mechanical prevention focuses on placing obstacles in the potential offender's path, making it difficult or impossible to com-

mit an offense. Examples of mechanical prevention are complicated locks, telescopic cameras, increased police surveillance, improved street lighting, and other mechanical devices. In addition, citizens have sponsored operation "ident" programs designed to reduce losses from theft by engraving the owner's driver's license number on valuable property. They have also instructed other citizens on measures to take for self-protection against assault, rape, etc. Too frequently, emphasis on eliminating or reducing the opportunities to commit crime has been the total prevention approach restricting efforts to the symptoms of the crime problem.

The National Advisory Commission's *Community Crime Prevention* report⁵ provides a detailed discussion of citizen-initiated efforts to prevent crime through programs directed toward the infrastructure of crime and programs directed toward reducing criminal opportunities.

Diversion

Diversion is the use of noncriminal dispositions and alternatives to initial or continued processing into the criminal justice system. It occurs after an alleged illegal act has been committed, but before it has been adjudicated. A related concept is minimizing penetration into the system which refers to efforts to utilize less drastic means or alternatives at any point during official criminal justice processing. While diversion halts official processing altogether, minimizing penetration just reduces it. Programs directed toward increasing alternatives to pretrial detention, plea bargaining that results in charge reductions, probation, and other community-based programs in lieu of institutionalization are examples of minimizing penetration.

The most commonly used justification for diversion is that the current criminal justice system is so bad that any alternative for diverting offenders out of it is desirable. High recidivism rates for incarcerated offenders, escalating costs of detention, partiality of current justice practices for the affluent, difficulties of reintegrating processed offenders into the community, and recognition of the inappropriateness of criminal justice processing for status offenders and those who commit victimless crimes are just a few of the arguments in favor of diversion. Another is that the system could not operate without diversion. If all offenses were reported, if the police arrested all known offenders, if prosecutors prosecuted all

arrested offenders, and if the court convicted and sentenced all guilty offenders, the criminal justice system would collapse from the voluminous case load and from community opposition. More positive arguments for diversion are that it seems to work better than processing through the criminal justice system, and that ultimately it will give society the opportunity to allocate existing resources to programs that attack the causes, not the symptoms, of criminal behavior.

Obstacles to diversion come both from the criminal justice system and from the public which may fear the early release of offenders. Law enforcement personnel are frequently opposed to diversion after arrest, believing that if they do not do the diverting, it is not safe to do so. Furthermore, they may feel that diverting known offenders back into the community will increase their work load. Also, when the courts divert arrested offenders from further processing there is the inference that law enforcers have erred in making the arrest. Corrections may oppose diversion because of the implication that they can't rehabilitate. Extensive and successful use of diversion reduces the need for the criminal justice system, and thus is quite naturally resisted by those employed by it.

The most convincing argument against diversion is that there is frequently nothing to which to divert offenders other than returning them to their previous living conditions. Although the position has not been supported by evidence, there is a strong sentiment in favor of "treatment" and belief that doing something, no matter how bad, is better than doing nothing.

Thus volunteers have the great and challenging opportunity of developing alternatives to official criminal justice processing and of encouraging system officials to divert offenders to these alternatives. If alternative programs are operated within the criminal justice system, they will become part of that system and reflect all the stigma and labeling that goes with it. Programs for minimizing penetration may be operated by both the system and community groups, but by definition diversionary programs should be operated outside of the system.

A variety of programs may be developed with diversion as a component part. Frequently, existing community agencies just need to acknowledge their responsibilities for certain types of offenders and to provide assistance to them. For example, in many communities there are agencies responsible for working with the problems of the alcoholic, the drug addict, the mentally disturbed, and neglected or abused children in need of supervision. In other com-

munities new or expanded programs — such as Hotlines, Crises Intervention Centers, Drug Treatment Centers, Alcoholics Anonymous, Addicts Anonymous, Youth Service Bureaus, Detoxification Centers, Community Mental Health Centers, Runaway Shelters, Drug Treatment Programs, Group Homes, and other residential programs — will be needed.

One of the most popular diversionary programs for young people is the Youth Service Bureau (YSB). The YSB concept was developed by the President's Crime Commission in 1967 and later refined by the National Council on Crime and Delinquency. Since that time the name YSB has been given to a wide range of programs for youth, many of which do not meet the program objectives of the YSB concept. The three principal functions of a YSB are

1. Service Brokerage — to coordinate community resources on behalf of troubled youth. The YSB attempts to bridge the gap between available services and youth in need of them by referral and follow-through. It acts as an advocate to see that the child gets needed services.
2. Resource Development — to identify gaps in the services and resources available to youth and encourage existing agencies to expand their programs or develop specialized services to meet those needs. The YSB may contract for services from other agencies but does not provide ongoing basic services itself unless they are not otherwise available.
3. Systems Modification — to modify community and institutional (e.g., schools and youth-serving agencies) attitudes and practices which create or enhance conditions leading to delinquency. It collects and disseminates reliable information on the activities and needs of youth to the community, local and state planning, funding and research agencies, and legislators.

For more detailed information on the YSB concept and how to plan and operate a YSB see Helpful Information Sources at the end of the chapter.

Enrichment of the Criminal Justice System

Much of the voluntary effort in the criminal justice system is directed toward enriching, enhancing, and complementing existing programs and practices. Realizing that public funds are limited, citizen groups may seek to expand available services by serving as unpaid staff or by developing alternative programs

and the resources to provide them.

Volunteers can amplify, diversify, and humanize the services provided by criminal justice agencies.⁶ Through amplification of services, the amount of time devoted to offenders can be greatly increased by system officials supervising volunteers who work directly with offenders. Consider, for example, the probation officer who has one hour per month to spend with each probationer. Rather than directly supervising the probationer, in which case one hour of effort by the officer results in one hour of attention for the probationer, the officer could spend that hour supervising a volunteer who could then devote many more hours to the probationer. The National Information Center on Volunteerism has estimated an "amplification factor" of ten to twenty hours per hour spent in volunteer supervision by system staff.

Individualization of treatment where dispositional and habilitative alternatives are matched with the needs of the individual offender has long been recognized as necessary for effective treatment. Extensive use of volunteers can diversify the services available to system officials and the offenders under their supervision. Any skill or resource that exists in the community can be made available to the system by volunteers. Rather than one staff person trying to meet all the needs of the people under his supervision, he can match offenders with volunteers having the needed expertise, whether it be a warm, caring attitude, specific job counseling, or technical legal advice. Volunteers can also develop alternative treatment programs, such as specialized group homes or day care centers, which diversify the services available to offenders.

Offenders frequently view themselves as misfits, isolated from the rest of the world, and find it difficult to believe that anyone cares about their welfare. Although system employees are human and many are devoted to their work, the volunteer can more easily convey humanity and empathy for offenders. Not only do volunteers typically not have a staggering case load among which to spread warmth and affection, but since volunteers aren't getting paid, offenders are more likely to accept their efforts as being sincere expressions of concern and interest. Offenders naturally tend to have negative reactions to the system and its representatives but don't think of volunteers as strictly agency people. Finally, volunteers tend to be more optimistic than staff who have had repeated failures with offenders.

The types of services volunteers can provide and the roles they can fill are limited only by the imagination. The following types of activities are illustrative:

1. **Direct Services** — Volunteers can perform the activities that are directly related or essential to any of the criminal justice system components. They may directly relate to offenders or directly assist paid staff with their activities. They can provide counseling (individual, group, drug, alcohol, employment, family, financial, homemaking, family planning, vocational, or educational), medical services, legal services, and so on.
2. **Ancillary Services** — They can provide extras which are beyond the scope of the services considered essential to a component's activities. For example, volunteers might provide transportation services to an institution for the families of inmates, or they might offer recreational or social activities to inmates and community-based offenders. They might sponsor hobby groups, teach sewing or personal grooming, have parties and entertain offenders.
3. **Administrative Activities** — Volunteers may increase the managerial efficiency of system agencies by maintaining records; conducting program evaluations; doing secretarial or clerical work; preparing informational materials; researching; advising; planning programs; assessing needs; training salaried staff; recruiting, training, and supervising other volunteers; and carrying out other activities to facilitate primary work tasks.
4. **Public Relations** — Volunteers can improve public awareness of the criminal justice system and of offender needs and problems. Public relations efforts may be directed toward the specific program with which the volunteers are working. They might give speeches, write articles, prepare exhibits, coordinate school information programs, conduct tours of facilities, etc.
5. **Fund Raising** — Volunteers may contribute money, materials, or facilities to help secure them from others. They might assist the agency to seek out grants and prepare grant proposals.

There are numerous examples of voluntary efforts which strengthen and supplement the three components of the criminal justice system.

Police-Related Activities

In many communities attempts are being made to create closer contacts between the police and citizens in the belief that better communications will produce greater confidence in the police and a willingness to report crime and related matters to them. Some approaches pioneered by citizens and police departments are:

- staffing neighborhood and storefront police offices with volunteers and police. Residents are encouraged to bring problems, complaints, and information or just stop by for a visit.
- conducting educational and good-will programs to increase understanding of the police role in the community. Police officers visit schools, playgrounds, and other groups. Comic books and other instructional material explaining police work are distributed.
- sponsoring area-wide campaigns to educate and motivate the public to report crimes. Crime check, crime alert, crime stop, check-mate, and citizen alert are some of the titles for such campaigns, which may be advertised by television or radio spots, in newspapers or magazines, with bumper stickers or billboards, etc.
- establishing community radio watches where businesses using vehicles equipped with two-way radios help to maintain law and order by reporting emergencies such as attacks, thefts, or fires to the police. Citizen band radio watches are similarly used.
- using crime and traffic reports to pinpoint the needs for greater street illumination, and then providing the impetus for more lights.
- establishing cooperative use of local alarms in neighborhoods and apartment buildings.
- training block parents to care for and supervise children during emergency situations thereby relieving the police of such responsibilities.
- encouraging the inclusion of crime prevention and law enforcement topics in school curricula.
- assisting police departments in recruiting and training new officers.
- conducting surveys of local police operations and making recommendations for improvements.
- developing and operating programs and

facilities for police to refer drunks, drug addicts, the emotionally disturbed, and troubled youth.

- directing many programs toward specific crimes, e.g., vandalism, shoplifting, and cargo theft.

Court-Related Activities

Citizens are assisting many courts to improve their effectiveness. Activities include:

- assisting legal aid lawyers and public defenders with investigatory work for which they do not have time.
- providing basic information about court procedures to defendants and their families in the court waiting rooms.
- court watching to observe the performance of judges, prosecutors, and public defenders, reasons for delays and continuances, and consistency of sentences for comparable offenses. (After weaknesses in the judicial process have been pinpointed and publicized, corrective action has been taken.)
- financing, sponsoring, and/or conducting studies of court systems and practices. (Backlogs have been reduced by applying businesslike methods to court procedures without hiring additional court personnel.)
- conducting presentence investigation studies to assist judges in making appropriate dispositions.
- initiating innovative pretrial release programs in which defendants are sponsored by volunteers, or volunteers screen defendants and verify defendant-supplied information for release on personal recognizance programs.
- establishing diversionary programs to remove offenders from the system between arrest and trial.
- assisting with some of the burdens of court administration such as paper work, case-scheduling, and alerting trial participants when to appear, etc.

Corrections-Related Activities

One of the largest groups of volunteers assisting the criminal justice system work as volunteers in probation. Frequently referred to as court programs since they often are within the administrative jurisdiction of judges, these programs are really correctional efforts. Probation volunteers may perform any of a hundred or more jobs, ranging from recordkeeping to working directly with probationers. Studies

have shown that using volunteers in probation can reduce incarceration, recidivism, and probation revocation rates. For more information on the volunteers in probation movement, see the *VIP-NCCD* heading in the resource chapter. Other correctional programs sponsored by volunteers may relate to prisoners, ex-prisoners, or those in transition to or from prison. Examples are:

- working with institutionalized offenders either individually or in groups. Such programs may be educational, recreational, vocationally oriented, or directed toward providing inmates with contacts on the outside who will listen and be supportive. For examples of two institutional programs see the Buffalo Case Study on page 232 and the Champaign-Urbana Case Study on page 227.
- serving as inmate advocates by visiting institutions regularly so that staff know that outsiders are concerned, taking up problems with appropriate officials, and when necessary, working for change by reporting findings to the public. These efforts are typically directed toward institutions for children.
- improving institutional facilities by painting, and/or providing books and magazines, various types of equipment, and decorative items.
- providing transportation to and from institutions for the families of inmates.
- helping to prepare inmates for release by acting as counselors, listeners, and as intermediaries between inmates and their families. Programs may advise inmates in advance on the most common problems that they may face upon release in terms of employment, finances, family, community attitudes, and the law. Some groups have published guides to community services for use by ex-offenders. Attempts are made to improve the self-image and confidence of inmates prior to their release, insisting that they can change their lives.
- sponsoring or supporting prerelease programs and centers where inmates are assisted in making a gradual transition to community living. A high premium is placed upon securing jobs for inmates and providing other occupational assistance. Volunteers serve as links between prospective employers and prisoners who need jobs.
- establishing and supporting alternatives to jails and institutions for juveniles and

adults. Citizens have planned, supported, funded, and/or operated halfway houses, group homes, day care centers, and similar facilities. These may be general purpose or specialized, e.g., drug abuse facilities, facilities for alcoholics, etc.

- educating the community and specific neighborhoods on the need for community-based facilities and programs.
- establishing employment advisory committees with representatives from management, labor, and government to advise correctional officials on the quality and relevance of their vocational training programs. Such committees may also be used to encourage employment of ex-offenders.
- serving as parole officers and performing a wide assortment of functions comparable to those of a volunteer probation officer. Recognizing that the first several months after release are the most difficult adjustment periods for ex-offenders and that most recidivist crime is committed during the first months after release, volunteers have also developed post-release programs for inmates who complete their sentences rather than being paroled.
- supporting surveys of correctional facil-

ities and services in terms of personnel requirements, standards for facilities, food, treatment of prisoners, etc.

For references with more detailed examples of actual citizen-sponsored programs in the three components of the criminal justice system see Helpful Information Sources at the end of the chapter.

Advocates for citizen-initiated efforts to change the criminal justice system and other societal institutions leading to delinquency believe that too much volunteer participation is directed toward enriching the status quo and not enough toward monitoring, advocacy, and systems change. Ira Schwartz has estimated that approximately 90 percent of the volunteers working in the juvenile justice field are currently being used for program enrichment.⁷ But, while there is increasing recognition of the fundamental failures of the criminal justice system and its need for basic change, there are conflicting opinions as to the direction that such change should take, and there is very little evidence on the relative merits of the varying positions. Consequently concern with incremental changes and operational improvements within the current system which increase its potential to deter crime and habilitate offenders is both rational and humane.

Helpful Information Sources

General

Community Crime Prevention Bibliography. Washington, D.C.: Law Enforcement Assistance Administration, National Institute of Law Enforcement and Criminal Justice, (proposed).

The entries in this comprehensive bibliography were specially selected to identify significant and innovative projects concerned with the prevention of crime in the community, by community action, and through the utilization of community resources. Entries are placed in four categories: General, citizen action, using community resources, and reducing criminal opportunities.

Action Strategies

Weintraub, Judith F. *Symposium for Status Offenders: Manual for Action.* New York: National Council of Jewish Women, 1976.

Prevention

National Advisory Commission on Criminal Justice Standards and Goals. *Community Crime Prevention.* Washington, D.C.: U.S. Government Printing Office, 1973.

Youth Services Bureau

Sherwood, Norman. *The Youth Service Bureau: A Key to Delinquency Prevention*. Paramus, N.J.: The National Council on Crime and Delinquency, 1972.

National Advisory Commission on Criminal Justice Standards and Goals. *Community Crime Prevention*. Washington, D.C.: U.S. Government Printing Office, 1973. Chapter 3.

The National Center for Youth Development of the National Council on Crime and Delinquency provides information and technical assistance on the development of YSB's as well as on the operational trends and conceptual developments in the whole field of community-based diversion. For information on available services write or call:

NCCD Center for Youth Development
411 Hackensack Avenue
Hackensack, N.J. 07601

Examples of Citizen Sponsored Programs

Chamber of Commerce of the United States. *Marshaling Citizen Power Against Crime*. Washington, D.C.: Chamber of Commerce of the United States, 1970. Chapter VIII "An Inventory of Citizen Programs."

National Advisory Commission on Criminal Justice Standards and Goals. *Community Crime Prevention*. Washington, D.C.: U.S. Government Printing Office, 1973. Chapter I, "Citizen Action" and Appendix C, "Citizen Action Programs."

NOTES

1. National Advisory Commission on Criminal Justice Standards and Goals, *A Call for Citizen Action: Crime Prevention and the Citizen* (Washington, D.C.: U.S. Government Printing Office, 1974), pp. 1-2.

2. Francis L. Dale, Speech delivered at IMPACT Conference sponsored by The Association of Junior Leagues, Inc., in Houston, Texas on December 2-6, 1973.

3. *Judith L. Weintraub, Symposium for Status Offenders: Manual for Action* (New York: National Council of Jewish Women, 1976).

4. Lamar T. Empey, "Contemporary Programs for Adjudicated Juvenile Offenders. Problems of Theory, Practice and Research" in *Juvenile Justice Management*, editor Gary B. Adams (Springfield, Illinois: Charles C. Thomas, Publisher, 1973), p. 426.

5. National Advisory Commission on Criminal Justice Standards and Goals, *Community Crime Prevention* (Washington, D.C.: U.S. Government Printing Office, 1973).

6. Ivan H. Scheier and Judith A. Berry, *Serving Youth as Volunteers* (Boulder, Colorado: The National Information Center on Volunteerism, 1972), Ch. III.

7. Ira M. Schwartz, Michael J. Mahoney, and Donald R. Jensen, *Volunteers in Juvenile Justice* (Washington, D.C.: Law Enforcement Assistance Administration, 1977).



SECTION III

DECIDING WHAT TO DO

Chapter 4 Forming a Core Group

Chapter 5 Assessing Community Needs

Chapter 6 Selecting and Clarifying a Target Problem

Chapter 7 Determining the Scope of Your Involvement

Chapter 8 Selecting a Project

Case Study The Junior League of Portland, Maine Selects a Project

Chapter 4

Forming a Core Group

The initial planning group may start with one person who has an idea or concern, it may be an independent group with common concerns, or it may be a subcommittee of a larger organization devoted to community betterment. Whatever the origins, to initiate and maintain a viable activity, group support is required. The group formed to initiate your criminal justice involvement may be expanded to include new members or disbanded and a new group formed to meet the needs of the specific project selected.

Regardless of your situation, whether you need to establish a new group or simply to form an organizational subcommittee, this chapter may help you get the initial planning group going. It may also be useful later if you want to establish support groups or coalitions.

Building the Group

Techniques for recruiting volunteers are presented in detail in Chapter 14. Here we are concerned with establishing an initial planning group. If the core group is to include people from outside your existing group or organization, you might:

1. Begin by developing a list of prospective members who share your concerns, interests, and/or have leadership potential.
2. Ask political representatives, long-time politicians, journalists, friends, community leaders, members of other organizations, and religious leaders for suggestions. Chapter 15 on community involvement and the resource chapter can provide ideas for possible groups to contact.
3. Contact those suggested to see if they are interested in planning a citizen-initiated criminal justice involvement. Keep in mind that while over-committed people may not be able to form the leadership or working core of the planning group, no matter how enthusiastic, they can open doors and serve as excellent advisors on an ad hoc basis when most needed. The planning group should be relatively small — four to twelve dedicated people.
4. Prepare a card file of interested persons.

The card for each person should include name, address, phone number, and type of involvement to be expected. Later this file can be used as your mailing list.

5. Meet individually with those persons likely to help organize and work with a criminal justice project. Make them feel needed by asking for their advice and suggestions of other persons and groups to involve.
6. After identifying enough people interested in organizing a criminal justice project, arrange for a mutually convenient meeting.

Planning Initial Meetings

The goals of the first meeting or two are to orient the group, to stimulate or maintain their interest, and to begin developing your work plan.

Don't attempt to omit the get-acquainted stage if the meeting is to be attended by new members. Try to make new participants feel welcome by introducing them to other members and avoiding activities, seating patterns, etc., that make the group appear cliquish. You will probably be starting with a collection of individuals who have varied reasons for being there. Yet, each potential member wants to feel that he will be participating in a worthwhile effort.

Your goal is to instill commitment and sense of purpose in the group. A first step might be for the participants to present informally their backgrounds and goals or expectations for the group. Pose the questions: Why am I interested in organizing a criminal justice activity? What do I expect from my involvement? How much of a commitment can I make? The answer to these questions will be significant in defining the group's purpose.

To inspire your members and spark their interest you may want to present a program on criminal justice problems. There are many ways to do this; the following ideas are only suggestive.

Show a Film

A good film can provide background informa-

tion, inspire, and encourage discussion. Many libraries, colleges, and universities have film guides or directories and operate free film loan services. Police departments and criminal

justice centers are also potential sources of films. Some of the many films on criminal justice are described in the following chart:

FILMS

Title	Description	Price	Available Through
<i>This Child is Rated X</i>	Fifty-three minutes, 16mm, color. Highly acclaimed overview of juvenile justice system featuring interviews with children, parents, judges, probation officers, and others.	Forty dollar rental fee	Educational Films 733 Greenbay Road Wilmette, Illinois 60097 (800) 323-4222 (toll free)
<i>Criminal Justice in a Nation of Orphans</i>	16mm, color. An indictment of societal apathy; depicts the plight of a troubled young woman in need of help, but unable to find it; describes various volunteer programs which might have helped her.	Free	Sears Film Library c/o Association-Sterling Films Listed below are regional distribution offices: LaGrange, IL 60525, 512 Burlington Avenue Ridgefield, NJ 07657, 600 Grand Ave. Dublin, CA 94566, 6644 Sierra Ln. Dallas, TX 75247, 8615 Directors Row Oakmont, PA 15139, 324 Delaware Ave. Littleton, MA 01460, 410 Great Rd. Sun Valley, CA 91352, 7838 San Fernando Blvd. Atlanta, GA 30340, 5797 Peachtree Rd. Minneapolis, MN 55426, 6420 West Lake St. Portland, OR 97209, 915 NW Nineteenth Ave.
<i>Children in Trouble</i>	Two-part documentary, two versions (twenty-nine minutes, fifty-four minutes). 16 mm, color. Probes the abuses of and recommends alternatives to the juvenile justice system. Written and narrated by Howard James, filmed on location in twenty-three states.		Although there is not presently a central distribution point for the film, groups which have purchased it may be willing to loan it to others. The Junior Leagues of Cleveland, OH and Charlotte, NC have indicated willingness to share their copies. For information on other groups which have purchased the film, contact: John Howard Association 67 E. Madison St., Suite 1216 Chicago, IL 60603 (312) 263-1901

Films (Cont'd.)

Title	Description	Price	Available Through
<i>The Odds Against</i>	Thirty-two minutes, B&W. Follows one offender through the criminal justice system.	Ten dollar rental fee	Sterling Films 866 Third Avenue New York, NY 10022 (212) 563-3263 or University of Georgia Film Library Center for Continuing Education Athens, GA 30602 (404) 542-1184
<i>The Revolving Door</i> (1968)	Twenty-nine minutes, B&W. Depicts the treatment of minor offenders as a revolving door of crime and punishment. Alternatives to jail — including voluntary programming — are explored.	Ten dollar rental fee	Sterling Films 866 Third Avenue New York, NY 10022 (212) 563-3263 or University of Georgia Film Library Center for Continuing Education Athens, GA 30602 (404) 542-1184

Since it is often difficult to obtain popular films, you will want to order the one you choose well in advance of the anticipated showing. Try to preview it; if you plan to rent or purchase a film, preview copies are often available at no charge. After previewing the film, you can prepare an introduction and a discussion guide to be used during the showing.

Have a Speaker or Panel Presentation

You might have a speaker or a panel of speakers react to a film from their own experiences and expertise, or you might have a speaker or panel presentation without a film. A series of meetings with speakers from the different elements of the system and/or with different points of view about criminal justice, or a coordinated presentation covering the major criminal justice issues might be held. Speakers who might be invited include:

- Those working within your local criminal justice system, e.g., judges, probation officers, police, directors of detention centers.
- Those who have been through the system and were previously committed to an insti-

tution or detention facility. Your local branch of the American Civil Liberties Union (ACLU) might help you locate such speakers.

- Those who are trying or have tried to change the criminal justice system. These might be members of other citizen groups or professionals outside of but knowledgeable of the system, e.g., poverty lawyer, ACLU member, investigative journalist.

You will need someone to introduce the speaker(s) or panelist(s) and to handle the question and answer period following the presentations. This moderator could and probably should be one of your own group members. The moderator's role may be difficult when a panel of speakers with diverse interests and ideas are included.

The following guides will help you to plan a successful speaker or panel presentation:

1. Assign one person to invite each speaker, to escort the speaker during his visit, and to send a thank you letter afterward.
2. Before inviting a speaker, ask other groups who have heard him how they liked the speaker. Try to hear the speaker yourself

- before inviting him to your group meeting.
3. Make your invitations as specific as possible. Indicate exact date, time, place, type and purpose of meeting, size and type of audience, overall meeting program, length of time for speech and questions and answers etc.
 4. Invite the speaker as far in advance as possible but verify the time several days before the scheduled meeting.

Have a Group Discussion

To stimulate and inform your members about the criminal justice system, a discussion leader could pose questions with members writing their answers and then comparing them with some basic facts about criminal justice. You could also provide a reading list or copies of books and periodicals to members before the meeting, and then at the meeting discuss them or have different members make book presentations. These presentations could be coordinated to provide an overview of the different elements and problem areas in criminal justice.

Books popular with volunteers new to the criminal justice area are listed in the Helpful Information Sources at the end of this chapter.

Getting the Group Going

After inspiring and orienting the group, you will need to initiate a work plan.

1. Determine the time commitment that each person can and will make.
2. Elect or appoint a temporary or permanent leader. The organizer of the group may be the logical choice. Chapter 13 discusses leadership in detail, but it is important to emphasize that the leader should not dominate the group. If the leader is much more knowledgeable than the group, he must not expect the group to blindly accept his interpretation of the problem. The group must be given time to develop their own awareness before committing themselves to a specific project or level of involvement. If the members do not feel they are important to the group, the group will not be important to them and commitment will be low.
3. Make specific assignments to be initiated or completed prior to the next meeting. To hold the interest of members, they must perceive the group as being action-oriented. Specific action assignments will show the meeting accomplished something

and will provide the members a reason or obligation to attend the next meeting — to report on their progress. Initial assignments might include recruiting or contacting new members, checking on the availability of meeting space, interviewing specified officials, studying need assessment techniques and survey forms, etc.

4. Develop the minimum structure and rules needed to guide the group during the initial stages. You won't know what type structure is needed until you know more about your specific criminal justice involvement — so keep it simple at first. Besides a temporary leader, you will need a recorder/secretary to take minutes at meetings and to contact members as needed.

The process of moving from a collection of individuals to a cohesive group effectively involved in criminal justice activities is not an easy or steady one. *Organizing Groups: A Guide for the Organizer*¹ is a short, easy-to-read manual outlining the stages of group development as well as how the organizer spurs the process. The stages include the following:

Stage 1: *The Floundering Stage* — At this point there are no established ways of doing things. People are uncertain about the purpose and ability of the group and their place in it.

Stage 2: *The Crawling Stage* — The group has decided on a general purpose and is slowly moving in one direction.

Stage 3: *The Honeymoon Stage* — Procedures are well-defined. The group has achieved a few small successes, and members are committed and optimistic.

Stage 4: *The Fall* — The group meets its first major crisis.

Stage 5: *The Walking Stage* — The group develops clearer objectives and a plan for reaching them. It may have lost some members, but those who remain are realistic, committed, and hardworking.

Stage 6: *Success* — The group achieves its major goal and receives favorable publicity.

Stage 7: *The Anti-Climax* — The group is tired and isn't sure if it wants to continue its criminal justice involvement.

Stage 8: *The Complacent Rut* — The group continues more for the sake of the group than for its work. Emphasis is on procedure and new membership is not encouraged.

Stage 9: *The Ungrateful Stage* — The group challenges its past leaders and blames them for its faults.

Stage 10: *Self-Sufficiency* — The group selects new leaders and perhaps decides on a

pattern of leadership rotation. It becomes active again.

Groups do not automatically advance through these stages — someone has to provide initial guidance. Group facilitation is discussed in Chapter 13 on leadership.

Remember:

- Avoid establishing an organization if an existing group is actively and effectively involved in the same activity. First look around to see what is being done by other citizen groups.
- Avoid forming a group to meet predetermined needs or interests in a specific problem area. Give the planning group an opportunity to determine what to pursue.
- Avoid serious conflicts between individuals or factions which stymie group action, because if one person or faction supports an activity, the other automatically opposes it.

Help the group find and deal with the real source of the conflict. If the intragroup animosity continues, you may want to encourage one or more members to withdraw from the group.

- Avoid becoming a social group where nothing controversial is discussed or approached and "bothersome" action is avoided.
- Avoid self-defeatism in which the group feels that it is incapable of doing anything important. Defeatism is a self-fulfilling prophecy which may pose a threat after the group becomes aware of the massive problems and needs of the criminal justice system. Here it is important to emphasize the successes of other groups and to develop a plan of action with achievable steps to assure initial successes.

Helpful Information Sources

Brownmiller, Susan. *Against Our Will*. New York: Simon and Schuster, 1975.

Burkhart, K. W. *Women in Prison*. Garden City, N.J.: Doubleday, 1973.

Clark, Ramsey. *Crime in America: Observations on It's Nature, Causes, Prevention and Control*. New York: Simon and Schuster, 1970.

Dewolf, L. Harold. *What Americans Should Do About Crime*. New York: Harper and Row, 1976.

Dodge, Calvert. *Nation Without Prisons*. Lexington, Massachusetts: Lexington Books, 1975.

Forer, Lois. *No One Will Listen*. New York: John Day, 1970.

James, Howard. *Children in Trouble*. New York: David McKay and Co., 1969.

Menninger, Karl. *The Crime of Punishment*. New York: Simon and Schuster.

Richette, Lisa Avereia. *The Throwaway Children*. Philadelphia: Lipincott, 1969.

Tunley, Roul. *Kids, Crime, and Chaos: A World Report on Juvenile Delinquency*. New York: Harper and Row, 1962.

Wilson, James Q. *Thinking About Crime*. New York: Basic Books, Inc., 1975.

Other books on various aspects of the criminal justice system are included in the references of Chapters 1 and 2.

NOTES

1. Available from the Community Action Training Institute, 128 W. State St., Trenton, N.J. 08608, Phone (609) 393-2746.

CONTINUED

1 OF 4

Chapter 5

Assessing Community Needs

What is Assessment?

Assessing community needs is getting facts and opinions on the problems and resources affecting the criminal justice system in your community. It is a means to an end not an end within itself; the purpose is not just to collect information but to gain understanding of your community as a system and to determine its most pressing needs. There will still be some unanswered questions, but you must be aware of what you don't know and why.

Why Assess?

While it is true that most of the needs and problems discussed in Chapter 2 exist in every community, each community is unique in terms of the urgency and extent of these problems. Thus the priorities will differ. Frequently organizations have copied "exemplary" projects conducted in other communities without first determining if such programs are needed, if they are priority needs, or how they will fit into the overall network of services in their communities. It is not possible to know intuitively what is most needed in your community. Superficial knowledge of community problems and concerns results in simplistic solutions that rarely work.

Local criminal justice systems are tremendously affected by the people involved — their personalities, politics, conflicts, policies. Tailoring programs and activities to local needs and resources rather than to phantom problems requires a thorough assessment of your particular community. There are additional advantages to assessing community needs.

- It helps to develop initial contacts with public officials and professionals in the criminal justice system.
- It paves the way for being more assertive in future dealings with public officials.
- The effort involved verifies the interest and dedication of your group to both yourselves and the community prior to project development.
- You may receive requests from some of those surveyed to do projects within their domains.

- It provides documentation of needs when applying for funds or other support.
- It provides a data base for evaluating resultant projects.
- It informs your group regardless of follow-up efforts and activities.

What is Involved?

First, define your community. It can be your neighborhood, city, county, area, state, region, or country.

Next, determine the scope of your assessment. Your information gathering activities may vary from simple to quite complex and comprehensive depending upon your purposes and resources. The more comprehensive your survey the more important it is to know ahead of time how the information will be analyzed and presented so as to insure that you collect pertinent and easily usable information. Many professional and business groups will provide free assistance to voluntary groups in developing and interpreting surveys. Check with local universities and colleges, advertising agencies, public relations firms, and political pollsters. It is good public relations for them to help groups who are trying to help the community. Teachers and students in nearby colleges might also assist in conducting the need assessment. Academic programs in social work, sociology, psychology, marketing, etc., emphasize community work as part of the requirements for some classes.

As discussed in the resource chapter, the League of Women Voters has published several booklets on conducting community surveys, e.g., *Know Your Community*, *Know Your County*, and *Know Your State*.

Be sure to weigh the pros and cons of an in-depth survey. You do not want to deplete the time and commitment of your members prior to action. For some purposes, a few well-placed phone calls and interviews may be all that is needed. Find out if other groups have already surveyed your community, for you may only need to update or add to what they have done. In recent years, Junior Leagues, sections of the National Council of Jewish Women, members of

the General Federation of Women's Clubs, and criminal justice planning agencies have conducted independent surveys of the justice systems in their communities. Some communities and agencies have begun to feel they have been over-surveyed. Never waste your valuable resources by unnecessarily duplicating the efforts of others.

Since information-gathering procedures must be geared to the local situation, no standard survey format is included with this handbook.

What Do You Need to Know?

There are essentially three types of information needed for a thorough assessment of community needs. These are background and demographic data, opinions and attitudes, and facts and figures on the criminal justice system. You may wish to collect information in some or all of these three categories.

Background/Demographic Data

Background/demographic data might include the following information:

- Population — numbers by age groups, by income level, by ethnic groups, etc.
- Economy — defined poverty level; percentage unemployment; major sources of employment; labor conditions; employment opportunities for minorities, youth, women, and handicapped; etc.
- Housing — zoning regulations, housing codes and enforcement, extent of sub-standard housing, etc.
- Health — medical and psychological services available to the poor.
- Education — classes for slow learners, special services, vocational education opportunities, adult education opportunities.
- Public Services — fire protection in low-income areas, recreational facilities, opportunities for supervised recreation, public transportation.
- Local Government Structure.
- Unique Characteristics — proximity to "the border," tendencies for natural disasters, weather conditions, etc.

Information on the above points is important because crime and the criminal justice system are interrelated with other community problems and services. Much of this information is available from existing government reports as is discussed in the following section.

Opinions and Attitudes

Opinions and attitudes of community representatives are just as crucial as objective data to your need assessment. In determining whose opinion to seek, consider the following: professionals on the staffs of criminal justice agencies, leaders in local and county governments, heads of government departments, business and industrial leaders, community leaders, representatives of political parties and organized labor, spokespersons for minority groups, college faculty members in departments related to criminal justice or community development, leaders of civic clubs, media representatives, and *offenders*.

You might seek answers to the following types of questions:

- What do you believe are the most critical problems facing the criminal justice system today?
- What do you believe to be their underlying causes? On a local level, what do you view as the biggest obstacle to solving each of them?
- What do you feel should be done to resolve each of them?
- How involved are you — your area of work — in the solution of each of these problems?
- How concerned do you think the residents of the area are about each of these problems?
- Whom do you consider to be the three most knowledgeable local people on each of these problems?
- Is there any role which an organization like ours can play in solving each of these problems? If yes, what? If no, why not?

An alternate approach would be to seek attitudes toward specific components or activities of the criminal justice system such as court procedures or community institutions rather than toward the problems of the system as a whole.

When interviewing criminal justice professionals and other public officials, it will be interesting to ask what they would like to do or to have done if they didn't have to answer to their superiors, funders, the public, and others. As representatives of a voluntary group, you will have much more freedom than the officials to push for innovative changes.

Techniques on how to secure opinion information are included under the interviews, polls, and observation headings in the next section.

Facts and Figures

Facts and figures about your local criminal justice system may be gathered by asking questions in the following areas:¹

1. Law Enforcement — the police and sheriff departments:
 - a. organization/management and policies
 - b. coordination and consolidation of services and facilities
 - c. crime prevention and control
 - d. community relations
 - e. research and statistics
 - f. personnel recruitment, training, salaries and promotion, utilization and performance
 - g. equipment and facilities
 - h. general ideas regarding criminal justice problems, legislation, etc.
2. The Courts — juvenile, felony, and misdemeanor
 - a. organization, management, and procedures
 - b. case backlog and delay
 - c. sentences and dismissal or reduction of charges
 - d. the prosecutor and defense counsel
 - e. personnel selection, utilization, and performance
 - f. facilities and equipment
 - g. bail
 - h. judges
3. Corrections
 - a. institutions — juvenile, adult detention, prisons
 - 1) facilities and utilization
 - 2) organization, management, and policies
 - 3) personnel selection, training, and performance
 - b. community-based programs
 - 1) juvenile probation
 - 2) juvenile aftercare
 - 3) adult probation — misdemeanor and felony
 - 4) parole
 - b) other programs and services
4. Diversion
 - a. decriminalization of victimless crimes
 - b. youth service bureaus
5. State Laws
6. Criminal justice planning, coordinating, and funding agencies — state planning agencies, area or regional councils, municipal agencies.

7. Existing volunteer programs in criminal justice.

How Do You Collect the Information You Want?

The overriding principle to remember when collecting information is *to be objective and not to approach agencies and persons with preconceived ideas on what the major problems are and who is to blame for them.*

This does not mean that your general impressions are not important. They are. The way you are treated by officials, how knowledgeable they seem, their ideas toward the role of citizens, etc. are all very important to your overall assessment. However, do not intermingle fact and feeling.

The best approach is to prepare a structured form with specific questions you want answered including a separate heading for your general impressions. This insures that forethought is given to the questions to be asked and makes information collectors more comfortable. Questionnaire forms should include some flexibility so you can follow up on interesting new leads as they occur.

Consider breaking your survey or fact-finding effort into logical sections and having the persons responsible for each section make a presentation to your membership on what they found. They might also invite contacts made during their work to speak to your group. Try to provide feedback to those you interview and those who help you. If nothing else, send them short letters of appreciation; you may need their help again, and the more friends you make, the better.

You may collect information by researching documents and other printed materials, person-to-person interviews, observation, and telephone polls. You will need to use at least two of these methods.

Reading

Since reading is an essential part of need assessment, include on your team persons who enjoy reading and studying written records so as not to lose the support of your action-only or people-oriented persons.

You should be able to get demographic information from area planning departments, councils, or commissions; state arts, social science, and environmental councils; your local department of vital statistics or its equivalent;

political science or urban affairs departments, and public service institutes or programs at area colleges and universities; and central public libraries. See Helpful Information Sources for references on how to research written materials and for examples of publications with demographic data.

For information on the criminal justice system, first obtain a copy of your state's comprehensive law enforcement plan. To be eligible for funds from the Law Enforcement Assistance Administration (LEAA), each state is required to develop and submit annually a comprehensive criminal justice plan. These reports typically include the problems, needs, priorities, present operations, available resources, and proposed action plan for future years for the state criminal justice system. While you may not agree with the plan, it will tell what your state's funding priorities are and enable you to develop your activity to fill unmet needs rather than duplicating or conflicting with programs already planned. Your state's criminal justice planning agency, frequently called state crime commission or state planning agency, is responsible for preparing this plan and may have other reports and studies of interest to your group. It is typically located in your capital city and is the state agency through which all requests for LEAA funds must be channeled. See the resource chapter for a state by state listing of these agencies with addresses and phone numbers. Each state is also required to have regional planning offices, but the states vary in the way these offices are disbursed. You should attempt to become acquainted with your regional office since it is one of the primary sources of information on criminal justice operations in your area, and all fund requests must go through them to the state agency.

Also available in many capitol cities is a legislative reference service or research bureau which can provide copies, sometimes with analyses, of bills related to the criminal justice system. Some states print government guides which include a description of the legislative process, courts, names of legislators and public officials by title, etc. Information and copies of federal legislation on criminal justice matters — e.g., "The Juvenile Justice and Prevention Act of 1974" — can be found in the *Congressional Record* and the *Congressional Quarterly* available in libraries or through your congressman or senator. Some of the periodicals listed in the resource chapter include analyses of pending and current legislation affecting the criminal justice system. Appendix I to Chapter 2 includes an overview of federal legis-

lation related to criminal justice.

Most criminal justice and social service agencies prepare annual reports of their activities for the public. After reviewing the annual reports of general planning agencies, e.g., United Way, Red Cross, Public Welfare Council, you might call those agencies relevant to your interests and ask for copies of their most recent reports and studies.

In researching the extent of crime, be very careful. *The Uniform Crime Reports for the United States (UCR)*, prepared by the FBI and available through the U.S. Government Printing Office or central libraries, is the most frequently used source on criminal statistics. However, the *UCR* is the subject of much controversy and may not include very useful information. The *UCR* includes statistics on seven "index crimes" as reported to and by the police — murder, rape, aggravated assault, robbery, burglary, larceny, and car theft. Most crime is never reported to police, particularly by poor and minorities, and the reporting systems of local police departments vary. The better the police department, the greater the number of actual crimes discovered, and thus the higher the crime rate.

The *UCR* treats joy-riding by juveniles, deliberate murder, larceny of fifty dollars, and bank robbery as equally serious crimes. Many researchers warn that the categories by which offenses are reported are not complete, not mutually exclusive, and not uniformly used from city to city or precinct to precinct.

Under no circumstance should crime statistics be compared between cities and between time periods for the same cities. Reporting procedures vary from city to city and in the same city over time. The number of crimes reported is dependent not only upon the number of crimes committed but also on the efficiency of law enforcement practices, the availability of detection hardware, the formality of handling certain types of offenses, etc. These also vary over time and between different cities.

Interviewing

When assessing your local criminal justice system, you may want to interview a number of persons representing such areas as law enforcement, courts, corrections, and special programs or services. It is good to talk to as many criminal justice system professionals (police, sheriffs, judges, prosecutors, probation and parole officers, wardens, and institutional staff) as possible, but begin with representatives of those general planning/coordinating/funding

agencies which are familiar with the broad scope of human service delivery systems. Some of these are United Way, area planning and development commissions or regional councils, and state planning agencies. Do not accept at face value some of the things that criminal justice officials and professionals tell you. Is the police department's greatest need really more personnel? Is the institution's priority need a larger facility? Remember representatives from the various segments quite naturally tend to be biased in favor of their own domains. You may hear several times, "We are the least understood, most overworked part of the system." Respond sympathetically, but then look at the problems and needs of the various agencies from the many points of view within your community. Even when you agree with officials, avoid confusing a solution with a problem. A solution might well be the need for more or better facilities, but the basic problem is the important consideration, e.g., overcrowding because of the need for separation of offenders.

It is important to prepare a questionnaire of the points you want to cover in these interviews. It helps if the questionnaires are typed and lined spaces provided for recording answers. When the questionnaire is ready, consider the following procedure:

1. *Orient your interviewers.*

Each interviewer must thoroughly understand the questions that he is going to ask, or else he cannot clarify them for the person being interviewed. You should explain to each interviewer the purpose of the survey, what is meant by each question, and why the information is needed. Consider using interviewing teams of two, with one person asking the questions and the other recording the answers. This can save time, and it may also be useful to have two impressions of the interview.

2. *Practice interviewing.*

Recommend that the interviewer read each question aloud several times prior to using it to be sure he understands and can pronounce all words. You might also consider conducting mock interviews in which your members play the roles of interviewer, respondent, recorder, and observer. The observer can critique the interviewer's performance; the recorder can determine if the interviewer goes too fast, etc.

3. *Make an appointment for the interview.*

- Start with the chief executive officers of each agency. Although they may refer you to others, it is important to obtain their support even if you wish to also interview line staff such as caseworkers or police.
- Call or write for an appointment. If you write first, indicate in your letter that you will call on a specific day at a certain time.
- Be sure about the names and titles of those to be interviewed before you write or call for an appointment.
- Ask the person to set aside a certain amount of time, depending on length of the questions to be asked.
- When someone refers you to someone else, or when a personal contact recommends that you interview someone, ask him to call that person and introduce you while you are still in his office. Influence helps you to avoid a runaround.
- When calling for appointments, develop a rapport with the receptionists/secretaries as they may control access to the person you want to see. Jot their names down for use in future calls.
- Begin by explaining the purpose of your organization and why you want the interview. Stress that you are attempting to better understand the system so you can find out if your group can be useful. *Avoid* any suggestion that you want to investigate what the agency is doing.
- Many officials are only too eager to share their problems with interested persons, but if you are unable to make an appointment even after reassuring the person as to your purposes, persist. Drop in without an appointment, make follow-up calls, etc.

4. *Conduct the interview.*

- Be prompt. Try to arrive well before the scheduled appointment.
- Begin by explaining the purpose for the interview. It may help to develop an information sheet on your organization, the reason for the survey, etc. to give the respondent.
- Record the respondent's answer word by word when possible.
- Whenever the respondent misunderstands a question and gets off track or

you don't understand the answer, you must **probe** for more precise answers. Probing is so essential to quality interviews that the probing techniques developed by the Junior League of Birmingham, Alabama are presented as Appendix I to this chapter.

- Ask the respondent if you may contact him for additional information, if needed. If appropriate, ask if he would be interested in working with your group, making a presentation to your membership, etc.

5. *After the interview.*

- Immediately review your completed questionnaire to clarify responses, spell out abbreviations which might be meaningful then but not later, etc.
- Record your general impressions of the respondent, the agency's work, etc.
- Write the respondent a short thank you letter.

The Junior League of San Francisco conducted an extensive survey of their juvenile justice system and youth-serving agencies. A copy of the instructions they used for writing up interviews is presented as Appendix II to this chapter. See Helpful Information Sources for references on conducting interviews.

Observation Visits

Statistics, reports, and secondhand interpretations can never replace personal observation. There is no better way to get a full understanding of the scope of the problems and the interrelatedness of crime with other social ills such as inadequate education, poverty, and unemployment than to visit police stations, courts, jails, and prisons. Direct observation of the system in action should be an important part of your need assessment.

Careful preparation is mandatory for most observation visits. Since you may not always be welcomed with open arms by those you wish to observe, it is important to observe, not to criticize, interrogate, or investigate. Many of the guidelines for conducting interviews are appropriate to planning observation visits. Since visits are much more meaningful if you have some prior knowledge about the place to be visited, when appropriate obtain and review agency reports, brochures, etc. before the visit. If many of your members are interested in making the same visit and it does not impose

unduly on the agency, send several small groups at different times rather than one large group. You will see more that way.

During the visits, one member should take notes. Afterward, the visitors should share their impressions with each other, and one member should prepare a report for future reference.

As part of its year-long survey of the juvenile justice systems in thirty-four states, the National Council of Jewish Women prepared a detailed study guide for its local sections. This guide, *Justice for Children*,² includes visit checklists and questions to ask the staffs of juvenile courts and detention centers or institutions. If such a survey was done in your community, ask for a copy of the report; you might want to obtain a copy of the study guide to use in preparing for your own visits.

You might consider visiting the following:

Courts. Spend a day or half day in court observing the judicial process. In felony or juvenile courts, you may wish to follow a case all the way through the process, attending each time a person's case is scheduled for a hearing. You will need permission from the judge or court clerk to attend juvenile court since they are generally closed to the public. In misdemeanor courts, you will probably be able to observe the trial and disposition of a large number of cases within a few hours.

The legal mumbo-jumbo of the courtroom dialogue is likely to be confusing, and it may be difficult to tell who is who — lawyer, probation officer, etc. If you have a lawyer friend with a soft voice, he could be an invaluable interpreter for your first visit.

Institutions. You may wish to visit county jails, police lockups, detention homes, training schools, reform schools, and prisons.

If brochures, pamphlets, or annual reports on the institutions to be visited are available, obtain copies before the visit so you can orient yourself and make your visit more meaningful.

In addition to the typical short meeting with the director and guided tour of the facilities, try to talk with offenders and with other institutional staff. What is the attitude of staff toward the institution and the offender — do they want to help, punish, control? How do the offenders view the staff and the institution? What do the offenders do with their free time? What programs are available for them?

Several years ago, overnight lockups were popular among outsiders interested in getting a first-hand feeling of institutions. Such may be possible in your area.

Law Enforcement. You may want to have informal meetings with officers in charge of specific units at the police or sheriff's departments. For example, you could talk with officers in charge of the juvenile bureau, crime lab, burglary, homicide, etc.

Rides in patrol cars have been a popular means of gaining increased understanding and such may be possible in your area. Perhaps one of your members could accompany a police officer for an entire shift.

Community Agencies. You may wish to visit other agencies which provide or could provide services to offenders. Examples are group homes, halfway houses, drug treatment units, youth service bureaus, crisis intervention centers, detoxification centers, mental health clinics, and family service bureaus.

Legislative Sessions. The bills proposed and passed by legislative bodies determine the boundaries of what your criminal justice system is and can become. On the state level you can learn from the legislative reference service, the legislative calendar, or the Senate/House Clerks when legislation pertaining to criminal justice will appear on the floor. Try to attend one of these sessions and let your local representative know you are coming. You might also want to attend a meeting of the subcommittee through which matters related to the justice system are channeled. Your local representative can and should assist you in making such arrangements. You might visit city councils and county legislatures or commissions which determine criminal justice policy and administration on the local level.

Lower Income Neighborhoods. Since, as discussed in Chapters 1 and 2, many of the offenders processed through the system come from lower-income districts, it is important, from a prevention standpoint, to see their neighborhoods, to meet the people there, and visit their schools, community centers, and social agencies. Attempt to be as unobtrusive as possible by not going in large numbers. Have your visit arranged by local residents or one of the local social service agencies when possible.

Telephone Polls

Telephone rather than in-person interviews may be used to collect information, particularly when seeking attitudes or opinions. There are two approaches to opinion polls. One approach seeks the opinions of a random, representative sample of persons in some category, e.g., registered voters, with the goal being to general-

ize or predict the findings from the sample to the population. This, of course, is like the political polls conducted during presidential campaigns. Such polls are not difficult to plan and implement, but you should get the assistance of someone with a background in market research, political science, sociology, psychology, or economics to help you draw your sample and prepare your questions.

Another approach is a poll seeking the opinions of a qualified cross-section of the community with no concern for generalizing the findings to the community-at-large. That is, you decide whose opinions you consider important and restrict your survey to these people.

Tips on How to Begin

Confused? Don't know where to start? Then look for help; it's readily available if you seek it. Listed below are some ideas on who can help and some things you can do to help yourself.

1. The telephone book can provide a starting point! Look under government (city, county, state, and federal) for cues as to agencies which should be contacted. More on target, when available, are directories listing local and county officials. Such booklets are published by many local Leagues of Women Voters.
2. Frequently an administrative assistant in the mayor's or county administrator's office can tell you who is responsible for and/or knowledgeable about different community and criminal justice agencies or programs.
3. Try to enlist at least one acquaintance who is knowledgeable about criminal justice problems and local or area politics. This person can suggest people to interview and introduce you to them. People from assorted backgrounds can fill the shoes of your contact person. For example, the head of the criminal justice department at a local university provided initial guidance to the Junior League of El Paso; the Director of the Bureau of Crime Prevention and Community Relations provided invaluable assistance to the Junior League of Portland, Maine by serving as a liaison with other system officials; and a local psychologist with power structure connections helped to pave the way for the project of the Junior League of Greater Bridgeport.
4. Go to your local representative or assembly-person and ask his ideas regarding criminal justice. Then ask to be introduced to

the chairperson of the legislative subcommittee on criminal justice.

5. Ask the chairperson of the legislative subcommittee on criminal justice whom he goes to for input on criminal justice-related matters. Whom does he consider to be the knowledgeable? Ask him to make appointments for you if appropriate.
6. Long-time politicians and their wives or husbands are frequently knowledgeable about community affairs and can help you to develop ties with criminal justice and other public officials.

Organizing and Summarizing Your Findings

Collecting information without taking careful notes is a waste of time. The human mind is fallible — what seems to be making a lasting impression one day can be almost impossible to recall several weeks later without notes to refresh your memory. Also, others do not have recourse to your memory but can more conveniently review your findings if they are in written form.

The best approach is to record the collected information immediately following each step of the need assessment. Be sure to include the names and positions of persons talked to, dates, their responses to your questions, your summary of the situation, and general impressions. When structured questionnaires are used, this should be simple. A little more discipline is required for informal discussions and observation visits. These intermediate reports or summaries should be shared with others conducting the assessment and your general membership.

If you can obtain copies of the reports prepared by other groups who surveyed your area, they can provide insights into what to include in your report. You can also include what was missing in these reports but was needed for you to understand the system.

If you ask the same questions of different people, as in an opinion poll, one way to analyze your responses is to look at all responses question by question:

Question 1

Respondent 1: _____

Respondent 2: _____

Respondent 3: _____

If you have done interim reports along the way, preparing an overall report at the end of the need assessment phase will be easy. There are many ways to organize your final report,

but you might consider including these points:

1. **Short summary**

2. **Method** — what you did, how you did it, who did it, when it was done.

3. **Findings** — responses to questions, your observations, problems discovered, resources available, obstacles. A conceptual framework for looking at the system and analyzing your findings will be needed to add meaning to your work and to facilitate drawing conclusions. Your preliminary readings should stimulate ideas for this. A typical breakdown would be to look at the following in terms of problems, needs, and resources:

- Legislation
- Law Enforcement
- Courts
- Corrections
 - Institutions
 - Community-based

4. **Conclusion and recommendations** — what citizen groups can do, what the primary needs are, etc. If a conclusion is based on your feelings rather than evidence, make that clear.

Your report will be very useful if you later decide to apply for outside funds to finance your involvement. It can also serve as a guide to other groups interested in working with the local criminal justice system. Possibly, some of your findings and conclusions can be used for public relations purposes with appropriate news releases.

If you examine all elements of the system and understand the major problems and resources of each, you and your group will be among the few in your community who do. Although the components of the system are very interrelated, people often work in one of them for years without understanding the others. Pat yourself on the back and prepare to use your expertise to its best advantage.

Helpful Information Sources

Researching Written Materials

Chandler, G. *How to Find Out: A Guide to Sources of Information for All*. New York: Pergammon, 1968.

This small "how to" book is designed to provide users at all levels with basic information regarding the organization and use of library catalogued materials. Many examples on a variety of topics are given.

Demographic Information

U.S. Department of Commerce. *County and City Data Bank*. Washington, D.C.: U.S. Department of Commerce, Bureau of the Census.

This volume, published following every national census, contains a wide variety of statistical items for each county, standard metropolitan statistical area, city, urbanized area, and unincorporated area in the United States. Most information is in easily interpretable statistical, tabular form.

International City Manager Association. *Municipal Year Book*

Primarily focusing on issues of urban management, this yearly publication provides a wide variety of information such as structure and nature of municipal services, city employment and payroll statistics, federal grants management, political municipal organizations, etc. Information is in both written and statistical, tabular form.

Interviewing

Gorden, Raymond L. *Interviewing: Strategy, Techniques, and Tactics*. Homewood, Illinois: Dorsey Press, 1975.

This volume is comprehensive in its dealing with the multiple facets of survey research. It is not a "how to" reference and is written more for the advanced researcher than for the beginner. It is an excellent source for survey theory and intricate explanations of problems.

Survey Research Center, Institute for Social Research. *Interviewer's Manual: Revised Edition*. Ann Arbor: University of Michigan, 1976.

Probably the most authoritative "how to" source for interviewers, this publication contains step-by-step instructions, explanations, and illustrations of survey research techniques. It is designed for the novice as well as the seasoned practitioner.

NOTES

1. For specific points to cover under each of these, see: Chamber of Commerce of the U.S., *Marshaling Citizen Power Against Crime* (Washington, D.C.: Chamber of Commerce of the U.S., 1970).

2. National Council of Jewish Women, *Justice for Children: A Guide to Study and Action of the Juvenile Justice System in Your Community* (New York: National Council of Jewish Women).

Appendix I

Probing Techniques for Interviewers¹

The following excerpt on probing is one of the interviewer tools used in the Junior League of Birmingham's Applied Social Research Project. The material may prove helpful in any situation involving interviews.

Probing

One of the most challenging and important aspects of the interviewer's work is getting the respondent to answer the question asked. Whenever your respondent misunderstands the question, or you don't understand his answer, or if he loses track of the question and gets off on another topic, it is your task to get him back on the track through careful, neutral probing. The quality of the interview depends a great deal on the interviewer's ability to probe successfully.

What Is Probing?

Probing is the technique used by the interviewer to obtain more information. A question has been asked and an answer given. For any number of reasons the answer may be inadequate and require the interviewer to seek more information to meet the survey objectives. Probing is the art of getting this additional information. Probes have two major functions:

1. Probes motivate the respondent to communicate more fully so that he *enlarges* on what he has said, or *clarifies* what he has said, or *explains the reasons* behind what he has said.
2. Probes help the respondent focus on the specific content of the interview so that irrelevant and unnecessary information can be avoided.

Probes must perform these two functions without introducing bias.

Why Is Probing Necessary?

Obtaining specific, complete responses *which satisfy the question objectives* can be the most difficult part of the interview. Some respondents have difficulty putting their thoughts into words; other respondents' answers may be unclear or incomplete; still other respondents may be reluctant to reveal their attitudes because they feel that they are socially unacceptable. The interviewer must deal with such factors and use procedures which encourage and clarify the responses of the respondent.

Even the best questionnaire may occasionally bring first responses which are inadequate. An answer may be inadequate because it is only a partial answer and therefore incomplete; it may be irrelevant, about something other than the subject of the question; or it may be unclear. In the following examples, note how the inadequate replies fail to answer the question:

Question: Do you think it will make a lot of difference to the country whether the Democrats or Republicans win the November elections, or that it won't make much difference which side wins?

Answer: Yes, I do. (Unclear answer)

Question: Considering the country as a whole, do you think we'll have good times, or bad times, or what, between now and a year from now?

Answer: I hope we'll have good times. (Irrelevant answer)

The interviewer cannot accept these replies because they don't adequately fulfill the question objectives. Obviously, some method of returning the respondent's mind to the topic of the question is needed so that *clear, complete, and relevant* answers are obtained. This does not mean that the interviewer should openly question a respondent's answer, since the respondent probably thought he was answering the question in all good faith. Rather, the purpose in probing is to have the respondent clarify and expand his answer in terms of the question objectives.

Kinds of Probes

Several different neutral techniques may be used to stimulate a fuller, clearer response.

Repeating the Question. When the respondent does not seem to understand the question, when he misinterprets it, when he seems unable to make up his mind, or when he strays from the subject, the most useful technique is to repeat the question just as it is written in the questionnaire. Many respondents, hearing it for a second time, realize what kind of answer is needed. They may not have heard the question fully the first time or missed the question's emphasis. In clarifying an objective, the interviewer who repeats the question often finds further probes unnecessary.

An Expectant Pause. The simplest way to convey to a respondent that you know he has begun to answer the question, but that you feel he has more to say, is to be silent. The pause — often accompanied by an expectant look or a nod of the head — allows the respondent time to gather his thoughts.

Accepting pauses during an interview is often difficult for the new interviewer. There is the desperate feeling that things must be kept moving. A few seconds of silence seem to last forever. Pauses are useful, however, in encouraging communication, and

1. From the Junior League of Birmingham, Alabama.

the art of using them should become a natural part of the interviewing technique.

One word of caution. The interviewer must be sensitive to each individual respondent in using this technique. Some respondents may be truly out of ideas, and a pause becomes a yawning abyss rather than encouragement to further thought. Instead of a "pregnant pause" you have an "embarrassed silence."

Repeating the Respondent's Reply. Simply repeating what the respondent has said as soon as he has stopped talking is often an excellent probe. This should be done as you are writing, so that you are actually repeating the respondent's reply and recording it at the same time. Hearing his idea repeated often stimulates further thought by the respondent.

A Neutral Question or Comment. Neutral questions or comments are frequently used to obtain clearer and fuller responses. Following are examples of the most commonly used probes and their "key word" phrases or their abbreviations which must be recorded in the questionnaire in parentheses:

Probe	Abbreviations
Repeat question	(RQ)
"Anything else?"	(AE or Else?)
"Any other reason?"	(AO?)
"How do you mean?"	(How mean?)
"Could you tell me more about your thinking on that?"	(Tell more)
"Any others?"	(Other?)
"What do you mean?"	(What mean?)
"Why do you feel that way?"	(Why?)
"Which would be closer to the way you feel?"	(Which closer?)
"Would you tell me what you have in mind?"	(What in mind?)

These probes indicate the interviewer is interested, and they make a direct bid for more information. This technique takes time to master, but it is a dependable and fruitful technique when used correctly. New interviewers often find it useful to write these standard probes on a card and tape the card inside their interviewer's folder for easy reference.

Successful probing requires that the interviewer recognize immediately just how the respondent's answer has failed to meet the objective of the question and then formulate a neutral probe to elicit the information needed. The interviewer knows the question objectives, the respondent does not. It is the interviewer's responsibility to study the instruction book thoroughly before starting to use the questionnaire.

It is only through a complete understanding of the objectives that the interviewer can recognize when and where probes are needed and use them effectively. The interviewer's manner of asking these neutral questions is important. Needless to say, a strident, demanding tone of voice does not increase the respondent's desire to try again.

Asking for Further Clarification. In probing it is sometimes a good technique for the interviewer to appear slightly bewildered by the respondent's answer and intimate with his probe that it might be he who failed to understand. (For example: "I'm

not quite sure I know what you mean by that — could you tell me a little more?") This technique can arouse the respondent's desire to cooperate with someone who is trying to do a good job. It should not be overplayed, however, or the respondent will get the feeling that the interviewer doesn't know when a question is properly answered.

Probing Methods Should Be Neutral

Remember that we have described probing as the technique that motivates the respondent to communicate more fully and that focuses the respondent's attention on specific topics, and further, that probing must be done without introducing bias.

The potential for bias is great in the use of probes. Under pressure of the interviewing situation, the interviewer may quite unintentionally imply that some responses are more acceptable than others, or may hint that a respondent might wish to consider or include this or that in giving a response. Consider the question:

"How do you think things are going in the world today, I mean — our relations with other countries?"

The respondent's first answer is:

"Well, I don't know too much about our relations with foreign countries."

The respondent has not answered the question but has indicated some thoughts on the subject. How might the interviewer handle this situation? An example of a neutral probe might be:

"I see, well, could you tell me what you have in mind?"

or

"There are no right or wrong answers on things like this, of course. I'd just like to get your thinking about it."

It is important not to change the content of the question. The following example illustrates a directive probe which entirely changes the nature of the question:

"Well, what about our relations with China?"

The respondent now considers any answer in terms of our relations with China — a subject that neither the questionnaire nor the respondent had mentioned and that was introduced by the interviewer. Following that kind of directive probe it is not likely the respondent would ever get back to what he really thought about "our relations with other countries."

This principle does not apply in the same way when the question is asking for straight factual information. For example, if you are asking total family income and your respondent seems to be answering in terms of his salary only, it is perfectly acceptable to probe, "Does that include your wife's/husband's salary, too?"

However, when asking attitudinal ("How do you feel about . . . ?") questions the interviewer must be especially careful to use only neutral methods because the expression of attitude and opinion is very easily influenced by the interviewer. Sometimes an answer may be suggested unconsciously by the mere inflection of the interviewer's voice. Take the

simple question:

"Do you think the United Nations is doing all it can to help keep peace in the world?"

Asked in a normal manner, this question easily permits either a "Yes" or "No" answer. But by the inflection of your voice you can do all sorts of tricks with it. If you emphasize the word "all," you may get a higher than normal percentage of "No" responses. If you stress "United Nations," you are likely to get a high percentage of "Yes" answers.

The "I Don't Know" Response

The "I don't know" answer can mean any number of things. For instance:

- The respondent doesn't understand the question and answers "don't know" to avoid saying he doesn't understand.
- The respondent is thinking the question over and says "don't know" to fill the silence and to

give time for thought.

- The respondent may be trying to evade the issue or may feel that a question is too personal and doesn't want to hurt the interviewer's feelings by saying so in a direct manner.

- The respondent really may not know or may not have an opinion or attitude on the subject.

If the respondent actually doesn't have the information requested, this is in itself significant to the survey results. It is the interviewer's responsibility to be sure that this is, in fact, the case and not mistake "I have no opinion on that" for "Wait a minute, I'm thinking." Repeating the question, an expectant pause, a reassuring remark ("Well, we're just interested in your general ideas about this.") or a neutral probe ("What are your ideas about this?") — all will encourage the respondent to reply.

Since you know very little about your respondent's reaction to questions at the beginning of the interview, it is a good idea to probe all the "don't know" responses that occur during the first few pages of a questionnaire. The most effective probing technique is to repeat the original question.

Examples of Probes

The primary question is this: "Considering the country as a whole, do you think we will have good times during the next year, or bad times, or what?"

Answer 1: "Yes, I do."

(What does the respondent mean? Good times? Bad times? He has not answered the question clearly.)

Answer 2: "Maybe good, maybe bad. It all depends."

(What does the respondent mean? On what does it depend? He has not answered the question.)

Answer 3: "I hope we have good times."

(What does the respondent *think* will happen? Are his *wishes* and *hopes* the same as what he *expects*? This answer is irrelevant and does not meet the question objective.)

Answer 4: "Well, I think . . . uh, I don't know."

(What did the respondent have in mind? He seems to have some ideas but is sidestepping the issue.)

Answer 5: "Well, we're all getting along better these days."

(Does "getting along better" mean "good times" during the next year? The answer is unclear.)

Possible probes:

"I see . . ." (Followed by an expectant pause.)

"How do you mean?"

"Would you say then that . . .?" (Repeat question.)

"Can you tell me what you have in mind?"

Possible probes:

"Uh-huh." (Pause and expectant look.)

"How do you mean?"

"What do you have in mind?"

"Can you tell me more about your thinking on that?"

Possible probes:

"Yes, but what do you *think* will happen?"

"Yes, but . . ." (Repeat the question.)

Possible probes:

"Let me just read this question again."

"I see . . ." (Expectant pause.)

"There are no right or wrong answers, of course. We're just getting people's ideas on this." (Repeat question.)

"Will you tell me what you have in mind?"

Possible probes:

"Yes, I see, but would you say . . ." (Repeat question.)

"Yes, but what do you really think will happen?"

(Smile.) "But what do you think?"

(Repeat question.)

Appendix II

Junior League of San Francisco

Instructions for Writing Up Interview Face Sheets

Note: This is to be used as a check list to insure that you include these items in your questions and see that the answers are written up as part of your face sheet. You will be given mimeograph stencils to type your face sheets on. This will allow all participants in the project to have a copy of your interview face sheets and the key pieces of information you obtained from the person you interviewed.

I. Heading:

1. Name of interviewers
2. Date of interview
3. Name of person interviewed
4. His title
5. Name of agency or component
6. Address or location of item listed in #5
7. Phone number of person interviewed

II. Brief Description of Primary Activities of Agency or Component:

1. What do they do?
2. How do they do it?
3. Is there activity mandated or circumscribed by any legal authority? (What is it? Cite number or other reference.)

Note: In your write-up briefly describe what the agency or project does. Simply describe how they do it.

III. Key Statistical Information:

1. How many are served? (Identify what kind of clients are in the program.)

2. Any significant statistical data that "capsulizes" the magnitude of client's presenting problems?
3. How many staff members are there?
4. How much money does the agency/program get annually? Where does the money come from?
5. How long has the agency/program been in existence?
6. What happens to clients who have utilized its services? (Significant statistical data showing success or failure of activity)

IV. Important Points Brought Out in the Interview:

Note: Include here all important statements by interview target that you think are important for the understanding of the agency or program.

V. Documentation. What documents did the interview target refer you to or give to you?

VI. Referral to Other Interview Targets: Whom else did the interview target suggest you talk to? Why are these additional people suggested? (What do they know???)

VII. Interview Evaluation: Was it successful? What else do we need to know? Emotional reactions to or hunches about interview target and his responses.

Chapter 6

Selecting and Clarifying a Target Problem

During the need assessment stage, whether you conduct a systematic fact-finding effort or only have informal discussions with the staffs and clients of some criminal justice agencies, you will uncover a multitude of problems. But no organization or group has the resources to deal with all these problems at once. You must carve out a workable chunk to be effective: you want to pursue the achievable, not the ideal.

How Do You Select A Target Problem?

First, make a concise listing of the major concerns, issues, and problems in your local criminal justice system based upon your need assessment report. Of course, some of the problems are so interrelated that they cannot be separated into neat compartments. For those, think in terms of problem sets.

Next, number the problems on the basis of importance and assigned priorities. When determining your priorities, consider:

1. Who and how many of those interviewed during the need assessment stage considered each to be a major problem? Don't automatically choose your region's top crime problem as your number one priority. It could outstrip your resources.
2. Which of the problems are causes rather than the results of other problems on the list. The old adage of "an ounce of prevention..." is especially apt with regard to criminal justice problems.
3. Is there a sense of urgency associated with some of the problems?
4. Which of the problems are most likely to be of interest to your members or potential members?
5. Which of the problems are manageable? Which can be solved or visibly improved within one or two years?
6. Do you want to "practice" with one problem and then move on to more complicated ones?
7. What is already being done in the community to resolve each problem?
8. For which problems will you be able to muster the support of significant community leaders and groups?
9. Which of the problems can be attacked in a variety of ways? The more flexibility you

have in dealing with a problem area, the better are your chances of being able to adapt to changing circumstances.

If you have difficulty selecting a target problem, consider running several problems through the clarification process described below. It would be useful, but probably too time consuming, to analyze each problem within this framework.

How Do You Clarify Your Target Problem?

To analyze and clarify your target problem, try to answer as many of the following questions as possible. Many of the answers will come from your need assessment.

1. What are the causes of the problem?
2. To what extent is the problem rooted, maintained, or increased by:
 - a. the individual personality of offenders?
 - b. the social structure?
 - 1) national, state, local, neighborhood?
 - 2) formal organizations, voluntary associations?
 - 3) power alignments, social/demographic factors, ecological or economic relations, cultural/technological factors?
 - c. interdependent relationships?
 - d. factors outside the local community?
3. Why should the problem be solved?
 - a. Who suffers?
 - b. How many?
 - c. Consequences to them?
 - d. How do they define the problem?
 - e. Do they want the problem resolved?
 - f. Consequences for the community?
4. Who benefits from the problem? How?
5. How do significant others view the problem?
 - a. Who perceives the problem as you do?
 - b. Who perceives it differently — either as nonexistent or insignificant?
6. What groups have a responsibility to solve the problem? Do they recognize this responsibility? Are they unwilling or unable to discharge this responsibility?
7. Who will likely favor change? How will they show it?

8. Who will oppose change? How will they show it?
9. What has already been done or is being done about the problem? By whom? With what results? Reasons for successes or failures?
10. If there are already other community groups concerned about the problem, how are they working on it? Do you want to work with them? How can you work with them?
11. What additional information do you need? Who can contribute knowledge toward the solution of the problem?
12. What resources will be needed to take action?
13. Why do you want to solve this problem?

If you can and do answer one-third of the above questions, you will be well ahead of the average change agent who all too frequently develops a problem or activity without fully recognizing the various ramifications of the target problem. Academic as it seems, time spent in careful consideration and deliberation during the earlier stages will save you untold headaches during the later stages.

You can't fit a problem to some ill-conceived project or activity; rather you must fit your activities to the problem. According to Peter Drucker, "the important and difficult job is never to find the right answer, it is to find the right question. For there are few things as useless — if not as dangerous — as the right answer to the wrong question."¹

Force Field Analysis

The force-field analysis technique can be an effective tool for analyzing your problem. Force-field analysis is a simple but useful conceptual tool for analyzing change. Once you have identified a specific goal, course of action, decision alternative, or proposed change, you must determine if it is realistic, feasible, or reasonably attainable. With force-field analysis, you examine the "field" in which your goal or proposed change is located in terms of the forces supporting the desired change and those blocking it. A problem — like a person, organization, or goal — exists within a total field of forces, and its behavioral position in time reflects the resultant balance of the forces acting upon it at that time. Until the balance of forces is changed, the problems remain the same — a condition called "quasi-stationary equilibrium."

Force-field analysis is best conducted graphically as illustrated on following page.

The stages in the analysis are:

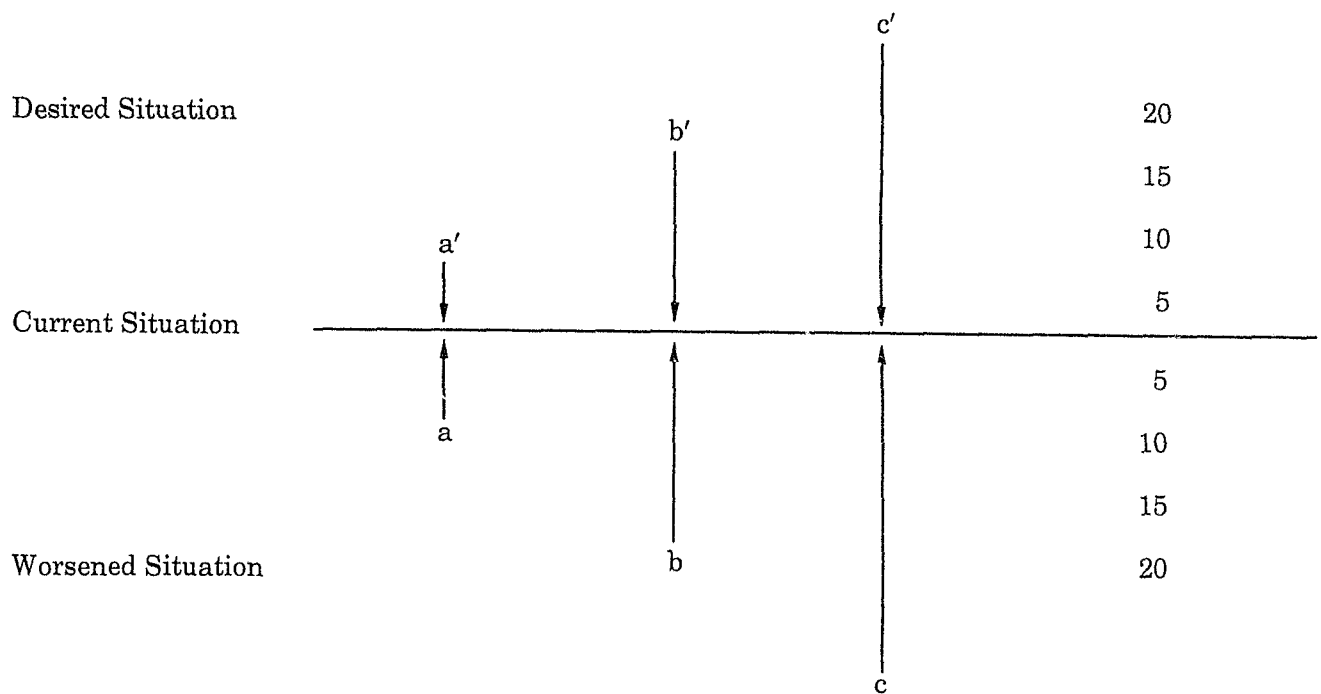
1. Clearly define the current situation and determine specifically what results or changes are desired.
2. Identify the forces inside and outside of your group working for the desired change and those working against it. Consider ambivalent forces which work both for and against the desired change.
3. Analyze the identified forces in terms of their relative strengths. (In the graph, force b' is a more powerful restraining force than a' .) Such judgments are difficult to make and often depend upon intuition, but information collected during your need assessment should help.
4. Consider the following strategies for changing the current situation:
 - What new driving forces can be added, and how can the strength of existing ones be increased? Be aware that when increasing the strength and/or numbers of driving forces, you may also induce new restraining forces.
 - How can the number and/or strength of restraining forces be decreased? Can some of the restraining forces be changed into driving forces?

The force-field analysis technique can be used for several successive levels of analysis, and a second level of force-field analysis can be done on any one of the forces isolated at the first level of analysis.

Preparing a Problem Statement

Once you have selected and analyzed your target problem, the next step is to prepare a statement on the problem. This statement should summarize your conclusions or answers to the clarification questions. Be specific and concise. This problem summary will be very useful (1) if you decide to apply for outside funds, (2) when you make a presentation to your membership for a proposed project, (3) when you are attempting to get the interest and support of other groups, and (4) when you are evaluating or assessing your activities.

Restraining Forces



Driving Forces

Legend of Forces

Driving: a _____
 b _____
 c _____

Restraining: a' _____
 b' _____
 c' _____

Notes

1. Peter Drucker. *The Practice of Management* (New York: Harper and Row, 1954).

Chapter 7

Determining the Scope of Your Involvement

What Does Scope Mean?

The size and scope of your criminal justice involvement are the ground rules or boundaries for determining what type of activity or project to pursue. Scope is similar to roles and missions: it provides a framework for selecting your overall goals, which in turn provide a framework for selecting specific projects or activities.

Even after the target problem is selected and clarified, you can go in many directions. There are, after all, many ways to skin the cat. Determining your scope will help to narrow down those alternatives.

For those organizations formed for the sole purpose of developing a criminal justice project, some of the considerations presented in this chapter could be examined in relation to specific project proposals or alternatives. For the already existing organization, however, it would be a waste of resources to consider project alternatives before determining the parameters for your organization's involvement in the criminal justice area.

What Influences Scope?

Scope is determined by two types of considerations — consideration of the problem area selected and consideration of your organization's or members' interests and restrictions. In management terms, you weigh outside needs (market) against inside capabilities and interests, and then determine the feasible segment of the problem to be tackled.

The Target Problem

Your clarification of the target problem (discussed in Chapter 6) will affect the scope of any well-planned effort by providing answers to the following questions:

1. What type of action is needed?
 - a. Alleviation, i.e., action directed toward making the problem more endurable, lessening its consequences?
 - b. Control, i.e., action directed toward increased detection of the occurrence of the problem, and enforcement of sanctions against the problem?
 - c. Correction, i.e., attempts to cure those

who commit the problem?

- d. Prevention, i.e., attempts to alter the social structure, opportunity structure, which lead to the problem?
- e. Other?
2. Where is intervention needed?
 - a. With the individual offender?
 - b. With the family of the individual offender?
 - c. With the neighborhood of the offender?
 - d. With the offender's subculture?
 - e. With the community?
 - f. With criminal justice agencies or institutions?
 - g. With the legal structure?
 - h. Other?

When analyzing the target problem, don't oversimplify; many problems will fit into several of the action and intervention categories.

Your Membership

The interests and resources of your members and potential members are vital in determining the scope of your criminal justice involvement. Since you are not being paid for your time and services, you have every right to impose certain restrictions on your involvement. In making decisions on the following factors, it will be wise to limit the input of criminal justice professionals whose opinions are weighed more heavily in the problem clarification. While their suggestions are essential for many decisions, these are yours to make on the basis of your own self-interest and abilities.

- Do you want a short term or on-going involvement in the criminal justice system? How long do you want your initial involvement to last? If you are interested in on-going involvement, would you prefer a series of discrete projects or activities, or do you want a major project which will require your attention for a number of years?
- Do you want sole responsibility and sponsorship of a project, or do you want to co-sponsor an activity with one or more other groups? If you want a long-term project but a short-term commitment, or if your interest is great but your resources limited, co-sponsorship might be the best choice. On the other hand, if your organization has sole

responsibility for an activity, your control will be greater and your administrative structure can be simpler. The question of project sponsorship is explored in Chapter 12.

- Do you want to rely on your organization's own resources or do you want to seek funds and other resources from other groups? Outside funding can impinge upon your autonomy since rarely if ever do we get something for nothing.

Without a doubt, the most effective voluntary involvement is long-term or on-going and is based on the collaboration of many groups; no one group alone has the strength or the resources to resolve major criminal justice problems. Still there is a need for all types of involvement.

Joint Considerations

There are several factors affecting scope which are determined by both the target problem and membership considerations.

- What is the geographic area to be served? Many criminal justice problems cannot be effectively tackled on the local level but require intervention on an area, state, regional, or national level. The geographic area to be served has definite implications for who should be included within your group or organization since you will want members or co-sponsors from the various geographic units included.
- Will a conflict or consensus approach be needed to resolve the target problem? Will your group support both conflict and consensus? During your clarification of the target problem, you may learn there are groups with vested interests in the status quo; to improve the situation you may have to "knock heads" with some influential community people. Also many criminal justice agencies are insulated with red tape protecting them from outside pressures for change. Will your group support conflict when needed?

On the other hand, developing friends rather than making enemies may be the real key to success, particularly for newcomers. It is far better to work toward decreasing rather than increasing resistance, and unless you have developed a support base which matches or exceeds the opposition's, you should avoid confrontation. Will your members be willing to support a consensus approach even when dealing with arrogant do-nothings? Will they be willing to remain

in the background if it contributes to resolution of the problem?

Some activities or projects depend on well-planned conflict, others on cooperation and consensus, but most on a little of each.

Determining and Clarifying Your Goals

After you have selected and analyzed your target problem and have thought out the various restrictions on your criminal justice involvement, you are ready to determine your goals. This means simply stating the situation as you'd like it to be — what you want to accomplish. Your goal statement will be a yardstick by which to assess action or project alternatives.

Your goal should describe a desired **outcome** and not refer to the process for achieving that outcome. Do not attempt to deal simultaneously with goals and programs or activities designed to meet the goals. Developing an action plan and establishing specific objectives are discussed in Chapter 9.

If you have difficulty determining your goals, you may want to have a brainstorming session to identify the full range of possible goals. Techniques for brainstorming are presented in Chapter 8.

You may decide that you don't want to restrict yourself to one goal but need several¹ — some relating to the target problem and others to your organization's well-being and advancement. The Youth Services of Tulsa initiated by the Junior League of Tulsa developed a list of twenty-four goals which they grouped into five goal categories:

1. Agency Development (e.g., successful transfer of the Youth Services of Tulsa from grant to community based funding);
2. Services (e.g., coordinate existing community services);
3. Community Education (e.g., education of parents on the problems of young people);
4. Research and Evaluation (e.g., case follow-up); and
5. Resource Development (e.g., reallocation of community resources as community needs change).

The fewer goals you have, the easier it will be to plan your activities. If you have several goals, then you must list them by priority or by indicating which are primary and secondary goals. If, as in the above example, you have several goal categories, you will need to list the

goal categories as well as the goals within the categories according to priority.

Be sure to write out your goal. Later on, you will want to communicate it to others.

To clarify your goal, ask yourself these questions:

- Do I fully understand the goal?
- What will I take as evidence that the goal has been reached? If this desired state of affairs already exists in some other location,

what is the difference between that place and our area to make us think the goal has been achieved there?

- Is the goal realistic? Practical? Timely?
- Do we have the skills and resources to do it alone, or should we cooperate with others in achieving the goal?
- Is the goal something I believe in and really want to accomplish?

Chapter 8

Selecting a Project

Even after selecting a target problem and determining your primary goals, you can go in many directions. There will be numerous alternative projects, all directed toward fulfilling your goal and thereby resolving the target problem. For example, suppose that your target problem is the fragmented youth service delivery system in your area, and that your goal is a coordinated, comprehensive approach to youth services. Each of the following could be supportive of that goal:

1. A comprehensive survey of youth programs and their effectiveness resulting in a printed directory of youth services for use by young people and youth-serving agencies;
2. A community conference on youth problems and services;
3. A continuing forum or clearinghouse for information exchange between youth-serving agencies;
4. A youth services bureau;
5. Public action to change the legislative framework of youth-serving programs and to mandate closer coordination or a central authority for youth programs.

Moreover, depending upon the boundaries that you are placing on your criminal justice involvement, each of the above alternatives could be further broken down by type of sponsorship, geographic area covered, etc.

While the various project alternatives may not be equally effective in reaching your desired goal, the goal itself does not determine the project. There are many other considerations to be taken into account before selecting a project. But first, let's look at how you can develop some project alternatives. Then we will return to the question of how to choose a project from among those alternatives.

Brainstorming Project Ideas

Brainstorming is one of several group problem-solving techniques directed toward soliciting as many ideas as possible from group members. Like other creative thinking games, it is simple and can be fun. The purpose is to get fresh project ideas, not to evaluate them.

As an initial resource for developing alterna-

tive project ideas, refer back to Chapter 3 and to the strategies presented in Chapter 17 on advocacy.

You will want to keep in mind suggestions for needed projects made by criminal justice professionals during your need assessment. It might be wise, however, not to include public officials in your group's brainstorming session. They can monopolize and intimidate your members.

The following guidelines may be helpful in running a brainstorming session.

1. Inform all participants ahead of time of the target problem and goal so they can do some "pre-brainstorming."
2. Meet in a comfortable room which has either a flipchart or a blackboard.
3. Include no less than four and no more than twelve people in the session. Those who participated in your need assessment and problem clarification stages will be the most familiar with what is needed and what has been tried in the criminal justice system. But they may have adopted the professionals' conservative or reserved approach as to what is possible. So be sure to include a few people who were not heavily involved in earlier stages; they may be more creative and suggest ideas that others wouldn't.
4. Have a combination leader/recorder who begins the session and records the ideas of others as presented.
5. The leaders should begin by stating very specifically the target problem and goal(s). Depending on how definite you are about the scope of your involvement (that is, the amount of time, money, and personnel the group is willing to invest), you might also present these parameters, but doing so can inhibit creative thinking.
6. Before the session, the leader should develop an outline of project types, (e.g., client advocacy, research, public education etc., as discussed in Chapter 3). Having some notions about major breakdowns of the problem and potential activities will enable the leader to encourage the group to look at all sides of the issue.
7. Encourage group members to suggest whatever pops in their heads; the more ideas the better. Note pads and pencils may

be needed for members to jot down their ideas as they occur so as not to forget them while waiting to speak.

8. There are no restrictions on the proposals presented and the group should not be permitted to evaluate or criticize proposals as they are suggested. Premature evaluation of ideas will prevent getting a perspective on the situation because the ideas are judged individually rather than in comparison to all other ideas. Criticism of an idea, no matter how valid, threatens not only the proposal but the person who made it, and stifles creativity.
9. New twists on already presented ideas are acceptable, however, and such refinement might just lead to the "perfect idea." Brainstorming is similar to free-association in that one idea or word can trigger other related or unrelated ideas and proposals.

The group facilitation process discussed in Chapter 13 can assist the leader with brainstorming and other group meetings.

Organizing Your Proposed Projects

Following the brainstorming session, you should review the suggestions and decide how to organize them. You could organize them on the basis of voluntary roles and action alternatives as discussed in Chapter 3.

You will be able to immediately discard some proposals, those which don't relate to the problem or goal, those which are impractical — requiring ten years and ten million dollars just to plan, those which duplicate other suggestions, etc.

If you have more than one goal, you might prepare a matrix of goals and project proposals. To relate possible programs to goals, the Youth Services of Tulsa brainstormed possible programs and determined which of their five goal categories was supported by each program. For an example see the matrix presented below.

Matrix of Goals and Programs

PROGRAMS	GOAL CATEGORIES				
	Agency Development	Services	Education	Research & Evaluation	Resource Development
1. Youth Resources Bureau		*			*
2. County Outreach Program		*			*
3. School Outreach Program		*	*		
4. Emergency Fund		*			
5. Develop Branch Offices	*	*			
6. Develop Telephone Tutoring Program		*	*		
7. Develop Cost Effectiveness Model for Services	*			*	

As can be seen from the matrix, some programs support more than one goal category. In determining which programs to consider for development, you can look at those which support your priority goal. If you are unable to list your goals according to priority, you can study those programs which support more than one goal.

The preferred strategy is to have one primary goal and restrict your brainstorming to proposals supporting that goal. Then in assessing the proposals you can add a bonus to those proposals which also maximize your secondary goals.

Assessing Your Proposed Projects

Now bring out your crystal ball. It is time to forecast the consequences of each of your proposed projects. Rather than thinking in terms of which proposals are good and which are bad, you want to look at the advantages and disadvantages, the assets and liabilities, of each project being seriously considered by your group.

The information for your forecasts can come from (1) personal experiences, (2) expert opinion and the ideas of participants in the criminal justice system, and (3) your survey of existing or past similar programs. Obtaining the input of others and utilizing the experiences of similar programs are discussed in the "Rules of Thumb" section which follows. Never rely on only one of these information sources; always try to utilize all three.

To forecast the potential desirable and undesirable consequences for your proposed projects, ask of each:

- Does it zero in on the goal and get to the essence of the problem?
- Is it supported by participants and public officials in the criminal justice system?
- Does it deal with local, state, or national

priority problems so that it is more likely to be funded?

- Would it be received favorably by the community, concerned business leaders, and others? Or would they be apathetic or hostile?
- Is there another strong organization working in the area which could be of assistance? Or does it require involvement of an ineffective organization which could hurt its chances for success?
- Is there a grants program for projects like this?
- Does a local university have programs related to the proposal?
- Would it be well received by your members?
- Would it utilize existing strengths and experience of your organization?
- Has it been implemented successfully or unsuccessfully by groups in other areas?
- Is it a sorely needed innovation which no one else is willing to try? Should existing agencies or organizations be doing the project?

To review the relative strengths and weaknesses of each proposed project, consider outlining your forecasts as shown in chart below.

This is not just a counting game though. One probable desirable consequence can outweigh several undesirable ones and vice versa. You may discover ways to cope with resistance and to handle some of the other disadvantages. Only you can determine the priorities or weights to assign to the different assets and liabilities. Of course, generally, the greater the number of advantages and the fewer the disadvantages the better. But not always.

If you have not decided on the "right" project after this process, you can go one step further in your assessment and do a needs/resources matrix for the "finalists." This simply means you estimate what resources will be needed for each project and compare this to your group's potential resources. To outline this analysis, consider using the chart on page 88.

PROPOSED PROJECT	CONSEQUENCES	
	Desirable	Undesirable
1.	_____	_____
	_____	_____
	_____	_____
2.	_____	_____
	_____	_____
	_____	_____

NEEDS/RESOURCES MATRIX

		1. Proposed Project #1	2. Proposed Project #2
Needs of Project	Volunteers		
	Salaried Staff		
	Space (office, telephone, etc.)		
	Training Materials-Curriculi/Films		
	Political Action Capability	X	
	Public Relations	X	
	Information System	X	
	Research Capability		
	Technical Assistance		
Resources of My Group	Etc.	X	
	Volunteers		
	Salaried Staff		
	Space (office, telephone, etc.)		
	Training Materials-Curriculi/Films		
	Political Action Capability	X	
	Public Relations	X	
	Information System	X	
	Research Capability		
	Technical Assistance		
	Etc.	X	

The greatest contribution of such a needs/resources analysis will be in identifying and mobilizing at an early stage the resources you will need to implement your chosen project. You have many more potential resources than you realize. The resource chapter presents a variety of services that your group may be able to draw upon. Be sure to consult this section before omitting a worthy project because you fear that your group does not have the money, power, or expertise to implement it.

An alternative approach to assessing your project proposals is the force-field analysis technique discussed in Chapter 6. Basically, all you need to do is to systematically look at the pros and cons for each of your project proposals. Consider both sides.

Rules of Thumb and Tips for Selecting a Project

Discussed below are six general guidelines to consider when selecting a project.

1. ***Seek as much participation and input in project selection as is feasible.***

Those who will have to implement decisions should be involved in making them,

and the sooner you collaborate with those on whom the success of the project will depend, the better. The best way to reduce the resistance of those who will be affected by the project is to involve them in planning the project. If the project will depend on close cooperation — or co-sponsorship — with another group or an agency, you will need to get their “permission” before finalizing your choice for a project.

When criminal justice professionals and public officials are involved, departmental jealousies and professional insecurities can play havoc with a good project unless those involved feel that they are part of the project — that they had a role in its development. This is a delicate line, however, because you do not want your project selection to be dominated by public officials. Public officials frequently tend to emphasize that the priority needs are in their domains rather than in other components of the system. For example, the Junior League of Greater Bridgeport initially decided that a day treatment center was what was most needed in their area because of the great desire for one ex-

pressed by local judges. Later they discovered that there was a lack of consensus among all juvenile justice officials as to what services were in fact most needed, and achieving a consensus on priority needs seemed more important than developing any individual service.

If you are having a group meeting to select a project and public officials are included, plan ahead of time to have one of your members act as a facilitator in order to equalize the power hierarchy that tends to immediately develop when a judge, county administrator, etc., is included. See the group facilitation process discussed in Chapter 13.

Herbert A. Shepard, in his often quoted *Rules of Thumb for Change Agents*, warns against selecting allies on the basis of organizational position and advises, "finding those persons in the system whose values are congruent with those of the change agent, who possess vitality and imagination, who are willing to work overtime, and who are eager to learn."

Involvement of those in the community who are important to a project does not end but rather intensifies after you have selected a project and have begun to develop the project plan.

2. ***Learn from the experiences of previous and existing similar programs.*** While still studying project alternatives, you should review what's been done by others with what results. Local officials and many organizations discussed in the resource chapter may be able to direct you to similar projects conducted by other groups locally and outside your area. Many of the periodicals annotated in the resource chapter discuss past and current voluntary programs in criminal justice.

After you have selected a project but before you have developed your project plan, intensify your efforts to learn from the experiences of others. Contact and when possible visit similar programs. Your resources are too limited to reinvent wheels. Other groups will have made some mistakes and their hindsight can be your foresight; likewise, they may have enjoyed real success and you'll want to know how they did it.

3. ***Start small and consider beginning with a pilot approach to your ultimate project goal.*** According to Dr. Ivan Scheier of the National Information Center on Volunteerism, if there is one universal

maxim, it is start small. No matter how good your planning is, some "bugs" will always remain and it is much easier to work them out in a small manageable project than it is in a large one. "Starting small can be viewed as a pilot test of your program plans, designed to feed back into the further perfection of those plans."¹

The *Community Crime Prevention*² Report of the National Advisory Commission on Criminal Justice Standards and Goals further advises that pilot projects are more likely to gain the support of officials. Mistakes can be made — and profited from — without jeopardizing the entire program. Small projects with good results will boost the morale and reputation of your group and inspire the confidence of officials in the program. They will then be encouraged to expand the program or adopt it as a government service or reform.

This advice was successfully illustrated in the Buffalo Junior League project where the chairperson stated that her code words in planning were, "Start off Simple and then Simplify." Her approach was validated; the League got its foot in the door of a "closed" institution and was then able to begin moving toward long-range goals.

4. ***Try to select a project with a high probability of success.*** To some extent this advice is a corollary to the "start small" caveat presented above. But even pilot projects differ in the number of "success-factors" that can be built-in.

Usually programs with a high probability of success are easy to develop, but bring little recognition to the sponsoring groups. Conversely, programs with a low probability of success are very difficult to implement, but if successfully accomplished, will usually bring great credit to the groups that initiated them. As a result, new and ambitious agencies or organizations with a strong desire for community recognition sometimes take the long-shot gamble of beginning with very difficult projects.

Although you are much more likely to develop support by beginning with simple projects and succeeding, it is often impossible to meet difficult community needs with projects having a high probability of success. In such cases, you will have to balance the trade-off between satisfying priority needs and the probability of successful implementation. If, however, you are considering project alternatives which can equally fulfill your goals, always opt

for the simplest one.

The experience of the Junior League of Portland, Maine, is illustrative. After having decided to develop a project which would provide diagnostic and screening services for juvenile offenders, the chairpersons considered two alternative projects: (1) an autonomous, community-based service which would tie into the local juvenile court structure, or (2) expansion of the services then being provided through the Boy's Training Center (BTC), now the Maine Youth Center.

They selected the latter because it had a higher probability of success since:

- They did not have to convince BTC of the need for the program;
- It was quicker to get off the ground;
- It was less expensive than an autonomous project with overhead costs;
- It did not require a complex administrative structure;
- It required less planning time and thus members could be involved earlier; and
- An autonomous project might have required massive support from the League which they weren't sure of getting.

After successfully implementing this project, the League believes it could now develop something like an autonomous court project successfully because it has established credibility and gained experience.

5. ***Avoid duplication of efforts and counter-productive rivalry with existing groups and programs.*** If an existing program provides the same service you would like to provide, it would be a tragic waste of resources to compete with them. It would be far better to offer your organization's services to help improve or expand the existing program.

If you believe that an existing group or agency is not providing the services that it is supposed to, why not encourage (with pressure if appropriate) them to provide these services rather than developing an autonomous project.

When selecting a project, consider if it would result in overlapping services, conflicts of interest, geographic disputes, or jurisdictional disputes. Naturally, to avoid undesirable duplication you must communicate with the local groups and agencies providing services in your area of interest.

6. ***Avoid causing more problems than are resolved.*** Activities that benefit one

aspect of the crime problem and the criminal justice system can sometimes cause problems in other areas. *The Community Crime Prevention*³ report describes a community where street crime was a severe problem and a citizen group organized to promote the hiring of more patrolpersons. Robbery arrests increased, but the courts and correctional facilities could not handle the increased caseload, and the criminals were soon back on the streets. A more effective strategy might have been pressure for better street lighting to discourage robberies without increasing arrests.

Your need assessment will help you to understand the components of your criminal justice system and their interrelationships. When considering a project idea, try to forecast its implications for related agencies and programs.

The Human Factor

Look carefully at your reasons for reading this book and wanting to get involved with the criminal justice system. What rewards are you seeking for your efforts? The needs and interests of your group and the needs and interests of the system are not mutually exclusive. There is no reason to believe that because you are designing a project that meets the needs of your membership that it will necessarily be less effective in meeting the needs of the system. In fact, the strongest voluntary projects address both satisfactorily.

To start with, consider whether you want a project which will utilize or depend on your member's existing skills or expertise, or whether you want a project which will develop new skills for your members.

The Junior League chairperson for the Portland, Maine project realized that a project which would involve extensive training for volunteers would be very popular with their membership. The project requires unique skills and considerable effort on the part of its volunteers rather than routine activities which anyone could do. Thus while providing a meaningful service, the project boosted League morale and membership.

Other very valuable projects can be based on your membership's current abilities, no matter what they are.

While this book encourages you to be practical and deliberate, don't be too skeptical or pragmatic when selecting a project. If your group has

an idealistic bent, this is the time to take advantage of it. Idealism can be the source of innovation, and certainly new approaches are

needed. Experimentation has become a rare commodity in criminal justice; skepticism is rampant.

Notes

1. Ivan H. Scheier, *Guidelines and Standards for the Use of Volunteers in Correctional Programs* (Washington, D.C.: U.S. Government Printing Office, 1972), p. 43.

2. National Advisory Commission on Criminal Justice Standards and Goals, *Community Crime Prevention* (Washington, D.C.: U.S. Government Printing Office, 1973).

3. *Ibid.*

The Junior League of Portland, Maine Selects a Project

In the spring of 1972, the Junior League of Portland, Maine began looking for an appropriate volunteer project — one which would fill a significant need in the community and at the same time motivate League members to volunteer. A committee was charged with investigating several fields of interest with the hope of isolating and researching several proposed projects for the League as a whole to consider. Each committee member chose a separate segment of the community from which to collect and review information, and one of these was the juvenile justice system. Eager to learn everything she could, the committee member studying juvenile justice read many books, articles, and reports from the National Council on Crime and Delinquency and the state planning agency, and then wrote letters to many volunteer programs, e.g., Volunteers in Probation, to request further information. She made appointments with local officials involved in various aspects of criminal justice — such as the director of the Bureau of Crime Prevention and Community Relations and the Portland Police Department Youth Aid Bureau — to discuss their perceptions of criminal justice in Portland. These interviews usually led to other contacts; she discovered, for example, that the local section of the National Council of Jewish Women was also interested in juvenile justice and the two organizations held a joint membership meeting at which the assistant superintendent of the Boy's Training Center (BTC), the state facility for adjudicated male delinquents, and other juvenile justice system professionals spoke. Later they toured the BTC facility.

While this research provided an awareness of what constituted the criminal justice system and what some of its problems were, it did not reveal a potential project in sharp focus. The needs all seemed too large, the problems too far-reaching for an organization the size of the Portland Junior League.

The Association's IMPACT program provided a timely stimulus; Leagues were given a comprehensive diagnostic survey on criminal justice within their communities to complete before attending a nationwide institute designed to train them in how to develop projects to meet needs identified by the survey.

The contacts already made were of great help in opening doors and gaining access to persons in a position to assist the ten League members who volunteered to conduct the survey.

Working together, the group divided the survey so that each League member would be responsible for a single, distinct segment. An information sheet explaining the IMPACT program and the purpose of the survey was prepared to provide an

orientation to those interviewed.

The survey sought specific information based on the recently released reports of the National Advisory Commission on Criminal Justice Standards and Goals. Officials to whom League members directed their questions were impressed with the seriousness of their intent. The survey made it clear that the League was genuinely interested in doing something to help and in grounding their efforts in a solid assessment of the status quo. Further evidence of the League's interest was revealed by the timely preparation and mailing of "thank you notes."

As the League became known in the community for its growing expertise and interest in what to most citizens was an extremely complex and unattractive field for involvement, the original juvenile justice chairperson was invited to serve on a task force set up by the United Way to explore the impact that a new law prohibiting the incarceration of status offenders would have on the community. Serving with her were two of the first contacts she had made in the beginning of the League's now year-old study of criminal justice: the director of the Bureau of Crime Prevention and Community Relations and the now superintendent of the Boy's Training Center.

The superintendent shared an idea with the task force that caught the League member's attention. BTC had recently begun to render diagnostic services to local judges for use in assessing boys awaiting sentencing. Local judges had previously cited the need for such services as an aid in making appropriate dispositions, but in the past the BTC's diagnostic efforts had been directed only at boys already committed. The superintendent indicated a willingness to expand this service on a statewide basis.

In December 1973, the League's criminal justice and community research chairpersons went to the IMPACT Institute, along with the director of the Bureau of Crime Prevention and Community Relations, who was invited to attend as the League's community representative. Part of the conference was an intense evaluation of each League's survey of its local criminal justice system. In reviewing their League's findings, the Portland delegates were able to identify two local needs within the scope of League assistance: (1) diagnostic services to boys awaiting court disposition and (2) a Volunteers in Probation (VIP) program.

Of the two needs, the VIP program was deemphasized as a League project since there was not an expression of firm interest by the probation department. Following the trip to Houston, the League criminal justice chairperson met with the superintendent of BTC to discuss the

possibility of using the Junior League to help establish a diagnostic services program.

Although the need was clear, the exact form for a League project to meet it was not so obvious. At first the League committee considered an autonomous, court-related diagnostic program rather than an extension of the BTC services. But several factors weighed against that concept and in favor of working with the BTC. Factors which seemed to favor working with the BTC included:

1. The BTC superintendent had already identified the need for the service so there was no problem with receptivity.
2. A physical location for the program was available at BTC.
3. Part of the set-up costs could be financed by the BTC.
4. The necessary administrative support was already available at the BTC.
5. It would be quicker to initiate since less planning time would be required.
6. The possibility of success in a joint project was much higher than if an autonomous service were established.

As a result of this analysis, the League committee decided to propose a project that would assist the BTC to expand its diagnostic services through the use of Junior League volunteers.

As the project search had progressed, the League committee had constantly kept in mind the capacity, needs, and interest of its own organization and volunteer members. Along with the amount of money and number of members the League had at its disposal, consideration was given to what would best motivate the active participation of those volunteers. That factor was isolated: training. The League members explained to the superintendent that whatever they did they wanted it to be of such a caliber as to necessitate extensive training. They wanted participating volunteers to become unique resources — to do something very challenging and stimulating. They did not want to rely on existing membership skills. They wanted something that would allow members to develop new careers if so desired.

A progressive training program was worked out by the superintendent of BTC and the director of psychological services, with input from the League committee, to train League members as paraprofessional aides in juvenile corrections.

The training program included orientation training to introduce prospective League volunteers to (1) the criminal justice system and BTC, (2) what they would be doing, and (3) the skills that they would be learning. If a member made the commitment to undertake the responsibility of the BTC work, skills training would begin. League volunteers were to develop skills in psychological and educational testing, interviewing, and counseling that would enable them to work in a paraprofessional capacity. Furthermore, ongoing individualized training, as needed or desired by

individual volunteers or by the group as a whole, was to be provided.

At the next League membership meeting, the IMPACT delegates presented a summary of the Houston Institute and told how they had been working with BTC staff on a possible project. The final proposal went first to the community research committee which unanimously endorsed it, then to the board, and finally to the entire membership at a meeting to which BTC staff came to answer questions and give explanations.

The proposal as finally presented went beyond a simple statement of what the project would entail. Note was taken of the benefits the volunteers would receive — extensive skill training in a thirty-hour course designed and taught by center staff and university professors, financed in total by the BTC — as well as the consequent obligation that the volunteers would incur to commit an amount of time (two-to-three hours a week for a year) that would justify the center's investment.

The careful groundwork laid by two years of study and research paid off when the project was unanimously approved and more volunteers than had been anticipated were recruited for training and service.

The enthusiasm with which the project began has been maintained. When volunteers completed their formal training sessions, they were invited to attend in-service training sessions for staff (a factor that decreased the staff resistance to volunteers that might have otherwise been expected). In addition, the volunteers received on-the-job training conducted by staff members in actual work situations. This multi-faceted approach to acquainting the volunteers with the diagnostic needs of the BTC allowed Portland League members to become an integral part of the agency with individual duties dealing directly with boys at the center.

The diagnostic services made possible by the project have been successful from the standpoints of both the League and the BTC. Two separate training sequences have been conducted, training thirty-nine volunteers, who have then worked in a paraprofessional capacity alongside the BTC staff members. The volunteers have decreased the diagnostic testing burden for BTC staff by approximately 30 percent, freeing it for considerably more individual and family counseling. The original skepticism of some staff and community members has been overcome by the extensive training and careful supervision of the volunteers, as well as their demonstrated competence and concern. Reading remediation and group counseling programs were introduced the second year with training provided for both.

In addition to the direct or tangible results of the program are some more indirect benefits. The Portland Junior League has gained credibility in the community and has received requests from other agencies, including the probation department, for League assistance.

SECTION III

DESIGNING THE PROGRAM

Chapter 10 Accountability and Evaluation

Chapter 11 Funding and Budget Development

Case Study • The Junior League of Omaha's Blueprint for Action

Case Study • The Junior League of Charlotte Faces Tough Decisions In Planning Group Homes

Chapter 9

Action Planning

Even after a project has been selected, planning is far from finished; planning must be ongoing. The gaps between the current situation and the goal must be bridged one step at a time. Systematic planning is necessary to get you from the actual to the desired.

An action plan is simply a blueprint to guide your activities. It includes the following six components:

1. **Setting objectives** — pinpointing what results must be achieved to help close the gaps between where you are and where you want to be.
2. **Programming** — establishing a sequence of actions to follow in achieving the objectives.
3. **Setting priorities** — determining the order in which objectives and program steps are to be undertaken.
4. **Scheduling** — establishing the time requirements for completing program steps and achieving objectives.
5. **Allocating resources** — assigning the resources needed to achieve objectives.
6. **Fixing accountability** — determining who will see that objectives and program steps are accomplished and devising ways to detect problems or obstacles early enough to do something about them. Chapter 10 on evaluation discusses building such feedback controls into the action plan.

The action plan developed by the Junior League of Omaha, Nebraska, for its juvenile diversion project is presented at the end of Section III to illustrate the principles of action planning. You may wish to proceed directly to that case study after reading this chapter.

Setting Objectives

An objective is a statement of specific results to be achieved. Objectives achieve goals; activities achieve objectives. Objectives state what will be different, by when, and how that difference will be measured. By focusing on results they imply a range of alternative activities. Management By Objectives (MBO) depends on allocating resources according to desired results rather than on the basis of the

methods by which you hope to achieve them. Otherwise, you can become so obsessed with activities that they in effect will determine your objectives. The MBO approach is used by the profit-making sector and by many private and public organizations, and its use is required by many funding sources.

George Morrissey,¹ widely recognized as one of the leading MBO advocates throughout the world, emphasizes the following guidelines for preparing objectives. While you may not always be able to develop objectives which meet each of these ground rules, you should always try to do so. If you omit a rule, do so consciously. Every deviation decreases the validity of your objectives.

1. **Objectives should relate directly to goals.** Non-goal-directed objectives not only fail to contribute to goal achievement, but may actually hinder it by diverting scarce resources from those objectives which are goal oriented.
2. **Objectives should start with the word "to" followed by an action verb.** Commitment to action is basic since achievement of objectives comes through action.
3. **Objectives should specify a single key result to be accomplished.** Unless you identify a key event, it won't be possible to determine if you have achieved the objective. If the objective includes two or more key results, failure to achieve one of them implies failure to achieve the objective regardless of how successfully you accomplish the other.
4. **Objectives should specify a target date for accomplishment.** To be measurable, an objective must include a specific completion date. Also, the amounts of time required to complete different objectives should be a consideration when selecting feasible ones.
5. **Objectives should consider maximum costs (dollars, person/hours, materials, etc.).** Although costs cannot be determined for some objectives, all objectives should be examined from a cost standpoint before they are finalized. Cost is an important factor in determining whether or not an objective should be pursued and in evaluating how efficiently

the objective was achieved.

6. ***Objectives should be as specific and quantitative (and hence verifiable) as possible.*** While some desired results can be easily quantified, many are too subjective to be assigned numbers or units of measurement. In these cases, you must identify measurable factors that will serve as reasonable indicators or proxies of achieving the intangible qualities. For example, "to improve communication with staff" is an objective which is frequently quantified by such activities as — weekly staff meetings with planned agendas, or — monthly individual discussions.

Retreating to management by activities is the method of last resort when your objectives can only be defined by certain activities.

7. ***Objectives should specify only the "what" and "when"; they should not venture into the "why" and "how."*** Objectives are statements of results to be achieved. Goals are the why of objectives. Those who must implement objectives need to know why the objectives have been set, but the written objective is not the tool for this. First, those responsible for achieving objectives should be involved in establishing them. When this is not possible, explanations of the purpose of an objective should be verbal or in separate written statements. Further, while having clearly stated objectives can help when you are explaining to other groups exactly what you are doing, objectives are not designed for public relations purposes.

How you propose to achieve an objective should not be finalized until all objectives have been prepared. Most objectives can be accomplished by several approaches or sets of activities, and you can't know which is the best approach until after you have set all objectives and established priorities among them. Programming your objectives is the method by which to determine the means for achieving them. Again, GOALS DETERMINE THE WHY, OBJECTIVES ESTABLISH THE WHAT, AND PROGRAMMING DETERMINES THE HOW.

8. ***Objectives should be readily understandable to those responsible for their attainment.*** As discussed in guideline seven above, it helps if those responsible for implementing objectives are in-

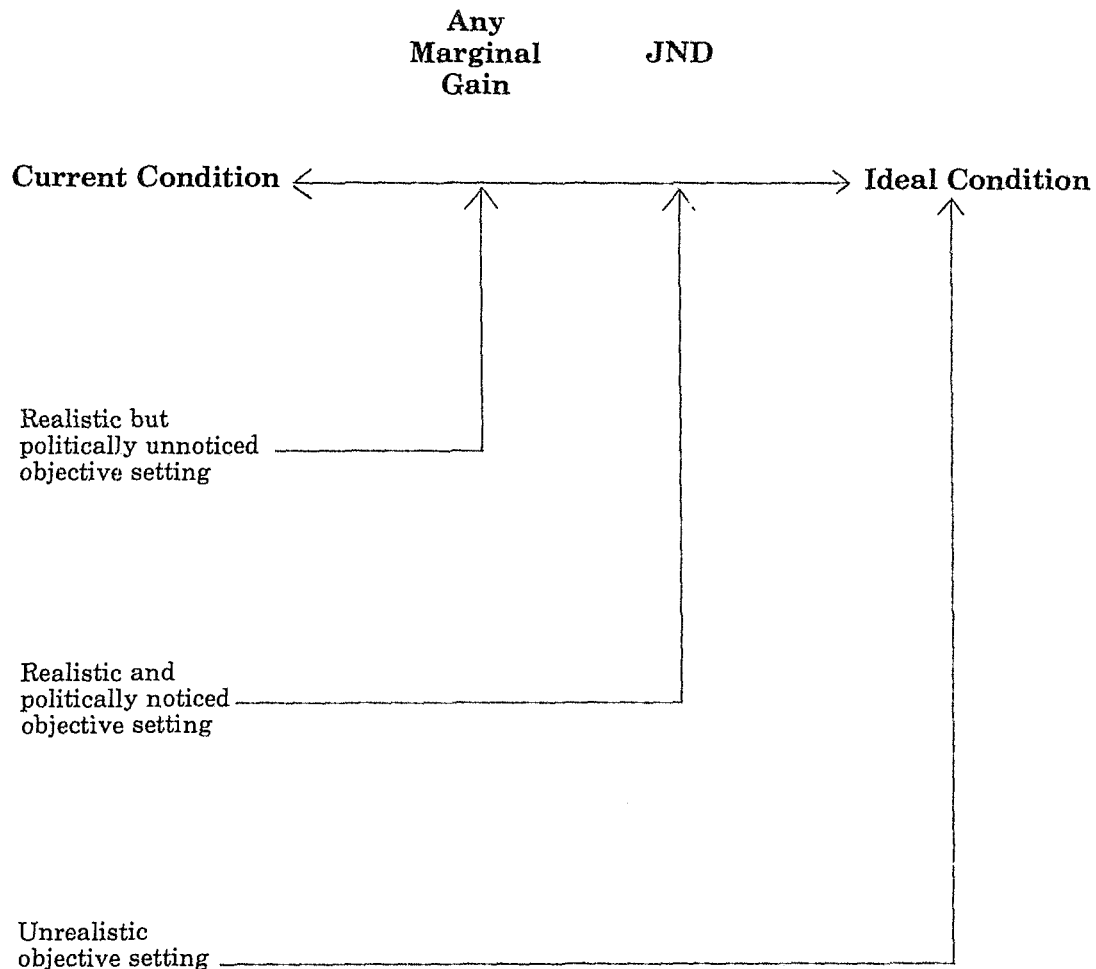
volved in establishing them. Generally, it would take an extraordinary manager to successfully achieve a goal through the work of people who can't understand the objectives.

9. ***Objectives should be realistic and attainable but still represent a significant challenge.*** Objectives should not represent ideal states of affairs. If objectives are impossible to achieve, discouragement and defeatism will follow. On the other hand, if objectives can be accomplished with very little effort, your members will be bored and perhaps idle.

In developing realistic but meaningful objectives, consider the notions of "marginal thinking" and "just noticeable differences (JND)." Marginal thinking implies that to be successful a program doesn't have to eliminate all of the target evil or produce all of the target good but it just has to make a marginal improvement. For example, a program of truancy reduction doesn't have to eliminate all truancy to be successful, rather it can marginally reduce truancy. The JND concept implies that marginal gains must be noticeable by significant others on whom you depend for support. For example, truancy must be reduced to a level noticeable by the school administrators.

Consider the outline on page 97.

10. ***Objectives should be consistent with available or anticipated resources.*** It may be okay to set objectives which outdistance your resources, but never begin implementing them until the adequate resources are available. Stopping midway in implementing an objective because of insufficient resources not only is demoralizing but is a complete waste of effort that could have been used in achieving a more realistic objective.
11. ***Objectives should avoid or minimize dual accountability for achievement when joint effort is required.*** If an objective requires the efforts of more than one individual or group, try to subdivide the objective into separate objectives for each individual or group. If this is not possible, one person or group should be given primary responsibility with others being in supportive roles.
12. ***Objectives should be consistent with your basic organizational policies and practices.***
13. ***Objectives should be written and referred to periodically by both man-***



agers and non-managers.

14. *Objectives should be communicated not only in writing, but also in face-to-face discussions between the accountable supervisor or chairperson and those contributing to their attainment.* The chairperson should always remember that his performance toward the achievement of objectives is no greater than the performance of those who will be working on the objectives. Face-to-face discussions can help to develop understanding and support for the objectives and to clarify the role that each person has in implementing them.

Simplicity is the key to well-stated objectives. An objective should state in the simplest possible terminology the result you hope to achieve. George Morrissey² suggests that the following summary questions be used to evaluate proposed objectives:

1. Is the objective statement constructed properly? To (action verb) (single key

- result) by (target date) at (cost).
2. Is it measurable and verifiable?
3. Does it relate to your goals?
4. Can it be readily understood by those who must implement it?
5. Is the objective a realistic and attainable one that still represents a significant challenge?
6. Will the result, when achieved, justify the expenditure of time and resources required to achieve it?
7. Is the objective consistent with basic organizational policies and practices?
8. Can accountability for final results be clearly established?

Programming

Programming an objective is establishing an integrated set of activities needed to achieve the objective. Programming is the how — your plan of action for getting from HERE **TO** THERE.

Just as there are alternative projects to meet your goal and alternative objectives for implementing your project, there are alternative methods for achieving each of your objectives. By programming your objectives, you will have the opportunity to evaluate these alternatives before you commit yourself to action. Programming encourages a thorough assessment of what's required to achieve objectives, and permits you the opportunity to modify or drop objectives before wasting valuable resources. If you go straight from setting objectives to action, you may soon see that haste really does make waste.

One Step At a Time

The key to good programming is building your plan of action step-by-step. Ask yourself the following questions:³

1. **What major steps are necessary to achieve the results identified in the objective?** A major step is one vital to the accomplishment of the result and/or one which requires considerable effort. A major step frequently becomes a lower-level objective for others to accomplish. If you have difficulty determining the major steps needed to implement an objective, reconsider the appropriateness of the objective for your group. If you still consider it an appropriate objective, check with other groups which have conducted similar projects for their ideas.
2. **What priorities should be assigned to each step?** More important steps should receive more attention; steps which must precede other steps should be considered first.
3. **What detail steps are needed to achieve the major steps?** After getting an overall picture of the major steps required to achieve an objective, the major steps can be broken down into specific activities. The following example illustrates the difference between major and detail steps.

Objective — to train and place fifty volunteers in the reading remediation program during the first four months of operation.

Major step — to develop a training manual by the end of the first month.

Detail step — to call special education department for a copy of their manual for review.

It is best if these detail steps are determined by those who will be responsible for carrying them out.

An advantage of breaking your objectives down into steps is that such intermediate, short-term activities will help motivate and sustain interest in the project while producing some tangible results.

There are numerous ways to organize your steps, and you will probably need to use a combination of approaches when programming any one objective. Among the approaches identified by George Morrissey⁴ for ordering steps are:

- **Sequential** — certain activities naturally fall in line, so that each step is dependent on the successful completion of the immediately preceding step.
- **Like effort** — two or more steps require similar types of effort and thus can be grouped together for economy.
- **Individual oriented** — steps that require the capability of particular workers may have to be programmed out-of-sequence to fit the times they are available.
- **Decision tree** — an objective may have to be programmed one step at a time with decisions on subsequent steps being based on information collected at the end of each intermediate step.
- **End event** — some steps may relate to the specific end events of other objectives.
- **Political** — the influence of significant others (e.g., funders, elected officials, public opinion) cannot be overlooked as a factor influencing programming.

Establishing Priorities

Multiple needs and multiple interests necessitating many things to do can lead to circular motion. You will be able to identify many more objectives than your group can possibly hope to achieve, and for each objective there will be more possible steps and activities than are absolutely essential to achieving the objective. Such situations plead for priority setting if your time is to be used to its best advantage.

Frequently we set priorities or determine what to do first on the basis of what makes the most noise, what is the easiest or quickest to do, or what we like to do. Such a cavalier approach to time may be appropriate during leisure activities, but effective management demands a more systematic, goal-directed procedure for allocating time and other resources.

A first step in isolating those objectives crucial to goal achievement or those steps essential to reaching objectives is dividing them into three groups:⁵

1. **Got-to-do's** are those which must be accomplished for survival. They may be critical to achieving your goal or they may be demanded by those in authority over you — organizational leaders, funders, etc.
2. **Ought-to-do's** are essential for improved performance and growth but are not absolutely necessary for goal fulfillment or continued existence.
3. **Nice-to-do's** are desirable for improved performance and allow you to experiment with innovative ideas and approaches. But they are bonuses which can be postponed or eliminated if necessary.

To get a grasp of your action priorities, keep "To Do Lists." A "To Do List," like a shopping list, lays out what should be accomplished day by day. It is not crucial to complete every item on the list, for the list is only a tool to help you be more effective. Its purpose is to encourage the best use of time, which means doing the most important things first.

Priorities must be set and updated as you go along, but there is no best way to order your listing. Grounds for setting priorities could be:

- How serious is an item? Is it costly?
- How urgent is it to complete an item? Can it be delayed?
- Does the item have growth potential for becoming a more difficult item to complete? Will it go away if you leave it alone?
- Is successful completion of an item required before other items can be tackled by either you or others?

Scheduling

Scheduling is assigning time blocks to objec-

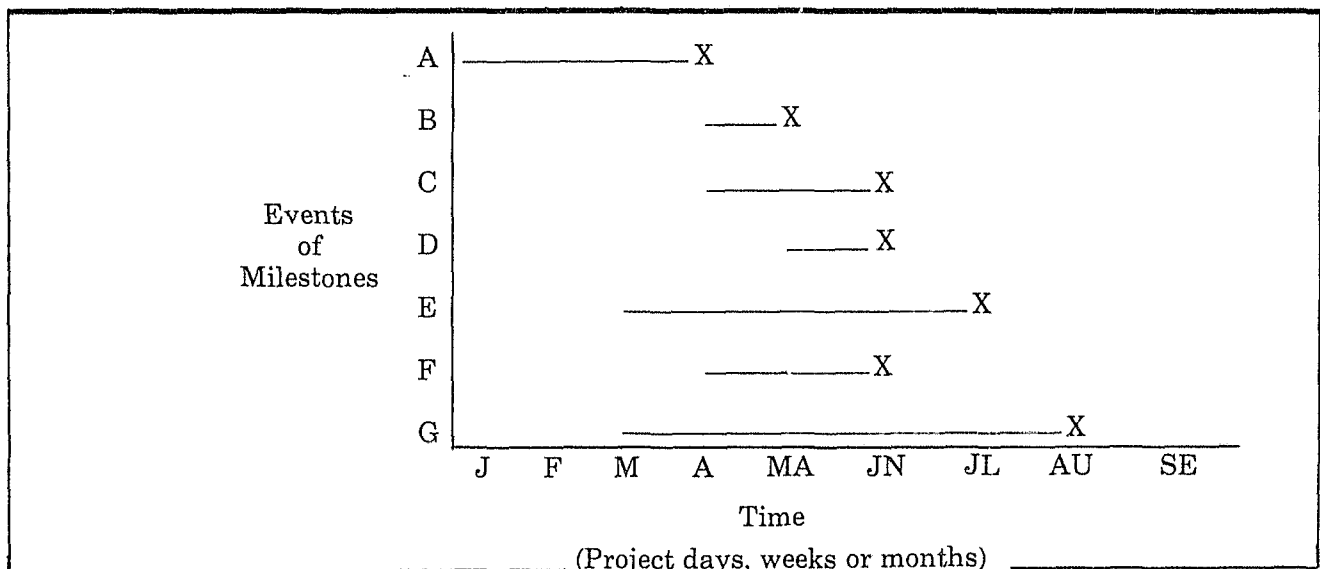
tives and program steps. Time refers to the number of calendar days set aside to complete an objective or program step, not to the amount of effort, person/hours, or days required. For most of us, deadlines serve as a powerful motivator, so anticipated completion dates should be established for each major step or activity.

Morrissey suggests that the easiest way to schedule the program steps for an objective is to start at the end point and work backward.⁶ Since when you set an objective, you should include the completion date, this date is a logical starting point. If the program steps are in priority order, start with the last step before completion and assign a reasonable time period for finishing it and each preceding step. When you get to the first step, you may find that by your schedule, you should have started working on the objective six months ago. In this case you have four alternatives, and depending on your circumstances you may either:

- postpone completing the objective,
- reconsider the advisability of pursuing the objective,
- complete the steps in less time, or
- execute several steps at the same time or piggyback style.

To lay out a schedule, break each program step into a series of events or milestones and assign a time estimate for each. Be sure to include the starting date for each step as well as the desired finishing date — this is a good reminder of when to get going.

The longest sequence of steps or events which must be completed in order is the critical time path upon which the entire schedule depends. You might want to chart your schedule as presented below.



Some events or activities must be done in sequence ($A \rightarrow B$; $B \rightarrow D$ above) while others are independent of each other and can be initiated at the same time (B, C, and F; E and G above).

Since many factors, most particularly your dealings with external groups, can influence your schedule, it is wise to build in contingency time. We often assume that we can accomplish a great deal in a short time. Even experienced planners tend to be overly ambitious and inaccurately estimate the time required to finish a job. When you plan an undertaking which involves activities with which you have had no prior experience, don't forget to allot time for learning the necessary skills and doing the preliminary groundwork. An unrealistic timetable which cannot be met and must be prolonged several times will frustrate and disappoint your workers, who may assume that, because tasks are not completed on schedule, they must be failing.

If you have difficulty in determining the amount of time to assign to new tasks, check with those who have had related experiences. After developing what you believe is a reasonable schedule, add some more time.

Allocating Resources

An action plan depends on the wise allocation of five basic resources: people, money, material, time, and authority.

1. **People** — After breaking the job into steps, work must be assigned according to the abilities and interests of your members. You must decide whether to hire staff and what roles outside experts or consultants will play. If the project is to be co-sponsored with other groups or if you plan to subcontract part of the work, you must decide who will be responsible for what. Chapter 12 addresses work distribution and coordination. Chapter 14 is devoted to recruiting, screening, training, and supervising volunteers and salaried workers.
2. **Money** — How much money can you allocate to this objective? What will you purchase? How can your financial resources best be used? Chapter 11 is devoted to estimating costs, securing funds, and budgeting money.
3. **Materials** — Space, training materials, equipment, public relations materials, and basic operating supplies may be needed. How will you obtain, allocate, and maintain such materials to the best advantage?

4. **Time** — This is the most valuable resource since with time you can obtain most other needed resources. A major consideration is how long your group wants to sponsor the project. If you are planning an ongoing program but want to terminate your involvement after some specific period of time, develop a schedule for phasing out your responsibility at the beginning.

5. **Authority** — How will authority be distributed? Responsibility and authority for tasks should go hand in hand. When you assign someone a task, consider assigning with it the authority needed to make decisions related to the task. Chapter 13 discusses alternatives for making decisions and the leadership/management function as it relates to the sharing of authority.

Different approaches to the same objective depend on different mixes of the above resources. If your group has a lot of one of these resources, look for strategies which emphasize that resource. While you may plan on the basis of anticipated as well as actual resources, remember "a bird in hand is worth two or three in the bush." The resource chapter presents a wide range of resources that may be available to your group.

Building in Flexibility

An action plan which is flexible and can be adapted to changing circumstances has a two-pronged advantage. You will be able to take advantage of unforeseen developments which can help you, and unexpected problems won't kill your project.

Your action plan will be based on many assumptions, most importantly that you will be able to secure the necessary resources. When one or more of these hypotheses or assumptions doesn't materialize, your entire action plan may be jeopardized.

Forecasting and contingency planning will help you to avoid some obstacles and to handle those obstacles that you can't avoid. Forecasting is thinking of the pitfalls and resistance that might be encountered and planning ways to overcome them before starting. For example, a resistant judge whose cooperation is needed might be handled by appointing him to an advisory board or asking him to make a presentation in a training program. Thus, through forecasting, you try to anticipate and avoid potential problems.

With contingency planning, you anticipate

ways to offset or get around unexpected problems or events. It is possible, but not feasible, to develop contingency alternatives for each step in your action plan. Contingency planning takes time and if overemphasized can lead to a preoccupation with what can go wrong at the expense of action. The amount of contingency planning needed is directly related to the significance of a step or event and how difficult it will be to recover if something goes wrong.

Three essential ingredients for adapting to changing circumstances are:

1. When allocating your five basic resources — people, money, materials, time, and power — save some for emergencies or unexpected contingencies as well as for desirable opportunities which may occur along the way.
2. Communicate your objectives and action plans to all your workers. If they understand the why, what, and how, then they

are in a good position to recognize problems as they occur and to take corrective action themselves.

3. If you are embarking on a very ambitious project, have a smaller-scale, alternative project in mind which can profit from the initial groundwork laid for the original one. This is the ultimate contingency to be used in the face of insurmountable odds.

The best of contingency plans are useless if you can't detect problems when they occur. Management controls for the early detection of impending problems should be built into every action plan. Techniques for monitoring and controlling are discussed in Chapter 10.

Outlining the Action Plan

To get a firm grasp on your goals, objectives, program, and schedule, outline your action plan as follows:

GOAL

Objective: _____

<i>Steps</i>	<i>Responsible Individual or Group</i>	<i>Deadlines</i>
--------------	--	------------------

1. Major step
 - a. Detail steps
 - b.
 - c.
2. Major step

- | | |
|---|---|
| <p>Then ask yourself these questions:</p> <ol style="list-style-type: none"> 1. Do the assigned responsibilities make the best use of resources and abilities? | <ol style="list-style-type: none"> 2. How and when will progress — and problems — be assessed? 3. How can the action plan be modified when necessary? |
|---|---|

Preparing a Proposal

A proposal is a written description of the goals, objectives, and action plan for a project. You may want to prepare a proposal to get the support of your membership, to seek funding, or to encourage the involvement and support of other groups or organizations.

Most funding groups have their own guidelines for preparing proposals to be submitted to them for review. Chapter 11 discusses how to prepare appropriate requests for funds. Generally, most proposals should include:

1. **Project summary** — One or two page abstract giving an overall picture of the project and summary of the proposal.
2. **Project justification** — Problem statement and clarification which explains the significance of the problem. Conclusions and methods employed in your need assessment along with related research and work by other groups should be summarized. Present the goals of the project and be explicit about how this project can make a difference: its projected immediate and long-range results.
3. **Project description** — Essentially the plan of action outlining "who is going to do what, when, where, and how much." Include objectives, the action plan for each, a timetable, target populations (those to be affected by the project), staffing needs, how the project can be continued after the requested support terminates, and what

groups and organizations will be participating in the project.

4. **Budget** — How much money is needed by expense categories and how much your group or other community organizations will contribute to the project. Watch the arithmetic; always doublecheck.
5. **Evaluation plan** — How results will be measured. Be explicit about the criteria for success and what controls will be established to monitor progress.
6. **Sponsorship and resources** — Description of the group which will be handling the project, indicating who will be the contact person for the project. Include an organizational chart and explain how the project will be administered. Explain how the group is uniquely qualified to undertake the project.
7. **Attachments** — Copies of reports or letters signifying the interest and support of other organizations or emphasizing the significance of the problem. If available, brochures on your organization, sample publications or reports on past projects, and resumes of project leaders could be attached.

Preparing a proposal will not be difficult if adequate attention has been given to developing your action plan. It can be very useful to pull all your research and ideas into one document regardless of whether or not you are seeking outside funds. For references on proposal writing, look under Helpful Information Sources at the end of this chapter.

Helpful Information Sources

Proposal Writing

- Kush, Gary. *An Introduction to Proposal Writing: A Self Instructional Programmed Text*. Tempe, Arizona: Cook Christian Training School.
- MacIntyre, Michael. *How to Write a Proposal*. Washington, D.C.: Education, Training and Research, Science Corporation, 1828 L Street, N.W., Washington, D.C. 20036.
- Meyer, Judy. *Writing Action Proposals: A Practical Guide*. Houston, Texas: Center for Human Resources, College of Business Administration, University of Houston, 1976.
- Urgo, Louis A. *A Manual for Obtaining Grants*. Chestnut Hill, Mass.: Office of University Research, Boston College, 1969.

NOTES

1. George Morrissey, *Management by Objectives and Results* (Reading, Mass.: Addison-Wesley Publishing Company, 1970).
2. *Ibid.*
3. *Ibid.*
4. *Ibid.*
5. *Ibid.*
6. *Ibid.*

Chapter 10

Accountability and Evaluation

What Is It?

Evaluation is the ongoing process of obtaining and assessing information to judge decision alternatives. Through evaluation, we attempt to determine if an activity, situation, or process is better than another (real or conceptualized). Evaluation may also include determining how much better one event is than another and why it is better. Thus, the focus of evaluation is on comparisons — comparing one action alternative with another, comparing action outcomes with standards or criteria for acceptable performance, comparing program benefits to program costs, comparing the outcomes to the conditions existing before an action was taken, etc.

Evaluation serves as a continuous information collection and analysis process helping you to make decisions related to program planning and improvement, as well as program assessment. Evaluation doesn't have to be a mind-boggling enterprise only comprehensible to research methodologists. True, jargon proliferates, but the concepts are really quite simple.

Earlier chapters, indeed the entire handbook, have been devoted to evaluating decision alternatives before taking action steps. These will be briefly summarized in this chapter using evaluation terminology. The major portion of this chapter, however, is devoted to two new evaluation dimensions:

- controls such as accounting and activity reporting designed to detect impending problems or obstacles early enough to do something about them; and
- assessing the outcomes or results of your activities.

The procedures by which you are going to evaluate your program should be planned before initiating action. Evaluation depends on systematic information collection; without an evaluation plan, you won't know what information to collect and keep. Under no circumstances should you initiate a project with the idea of collecting all possible useful information and developing the evaluation plan later on. Collecting information is costly and a real drag to most staff. If staff feel that the data they collect are not being used, they may become careless.

Why Bother?

Evaluation is most needed when program effects cannot be directly and immediately observed, as is the case with many criminal justice projects. While expenditures for criminal justice programs are enormous and increasing, improvements in the quality of services provided and results achieved are less conspicuous. The demands for accountability — which can only be documented through evaluation — are diverse and widespread. The public, elected officials, and the users of services have understandably formed a "we want results" coalition to watchdog the delivery of social services.

Thus, one compelling reason for evaluation is that program sponsors and funders increasingly require it. The Law Enforcement Assistance Administration, as do most other federal agencies, now requests that all grant applications present a detailed description of how the proposed project will be evaluated.

Aside from the external requirements for evaluation, most of us want to learn from our mistakes and our successes. Through evaluation, you can preserve and enhance what works and drop or improve what does not work.

The Junior League of El Paso discovered that self-evaluation could also promote good public relations. The evaluation subcommittee for the El Paso Youth Assistance Program (YAP) goes to other community agencies and groups every six months to get their ideas on how YAP services can be improved. Many of these organizations — some of whom had earlier posed barriers to YAP — were impressed by YAP's willingness to undergo such self-evaluations and have increased their support of the program.

Approaches to Evaluation

Prior to attempting systematic evaluation of some of the Great Society programs of the sixties, evaluation of social welfare programs was largely impressionistic, being based on casual observation, implicit goals, and subjective judgments. Typically, voluntary programs were considered successful if they could log large numbers of volunteers or volunteer hours

and could provide some testimonials from the clients served.

When the demand for hard, objective indicators of program results increased, evaluators of social programs borrowed concepts and study designs from industrial ideology and practices, and traditional research methodology. Applying scientific methods to the evaluation of programs designed for human betterment, correction, enlightenment, or uplift most often led to the conclusion that little or no change had resulted from the programs. This in turn led to a wave of pessimism about the utility of social welfare programs and other efforts to change

human behavior.

More recently, there has been a growing belief that equating sound evaluation methodology with traditional research methodology has been more detrimental than beneficial to the cause of good evaluation. The scientific methods developed for investigation of physical and biological phenomena in a laboratory setting are increasingly seen as inappropriate for the evaluation of programs attempting to improve, correct, or benefit human beings.¹

Some of the basic differences between the requirements of traditional research methods and program evaluation are presented below:

Traditional Research Methodology

1. Purpose

To produce new and generalizable knowledge independent of the context in which it was discovered.

2. Subjects/Clients or Participants

Assigned randomly to treatment and control groups. Sometimes the two groups are matched on relevant characteristics.

3. Treatment Variable/Program

Alterations in the treatment program or variable during the research stage is not permitted since such changes might impair the validity of the results.

4. Setting

The antiseptic world of the laboratory is the ideal. Attempts are made to rule out the effects of variables which are not under investigation, e.g., practitioner characteristics, staff enthusiasm, placebo effects, physical characteristics of the program site, etc.

Evaluation of Social Programs

To make judgments about some specific set of decision alternatives or events.

Service orientation prohibits denying services to those who might benefit from them. Many programs are composed of self-selected participants, and it is difficult to deny entrance to those who seek it or force services on those who resist them.

Facilitates and encourages continuous improvements, thus changes in the treatment program.

The septic world of the community and real life conditions are not only acceptable but desirable. It is important to know if a new program will work under circumstances common to most situations in which it is needed. Contrived situations limit the information that can be produced on the program.

In basic research, the treatment or program must be accommodated to the study design, while in evaluation, the study design must accommodate the program being evaluated. Evaluation does not determine the focus of the project; rather evaluation must fit into the project's constraints.

Perhaps the greatest difference between traditional research and evaluation is that evaluation is directed toward the solution of immediate and practical problems which require action on the part of decision makers, while the research study is not concerned with action; indeed it is based on the premise that

there will be time for future studies to repeat and refine its findings.

If the impressionism of earlier times is not acceptable and the requirements of traditional research are too rigorous, where does this leave evaluation? Floundering for a meaningful conceptual framework and appropriate tools and procedures. To fill this void, a plethora of concepts have been advanced by evaluators and researchers across the country. The same concepts are labeled differently by different writers, funders, and researchers, which has led to the proliferation of evaluation jargon. When applying for outside funds to finance your program, using the evaluation terms popular with the funding agency or group may enhance your credibility with them. For this reason, this chapter includes a description of widely used jargon.

Frequently, ordinary review and appraisal will be the most appropriate evaluation approach. For example, you might ask such questions as:

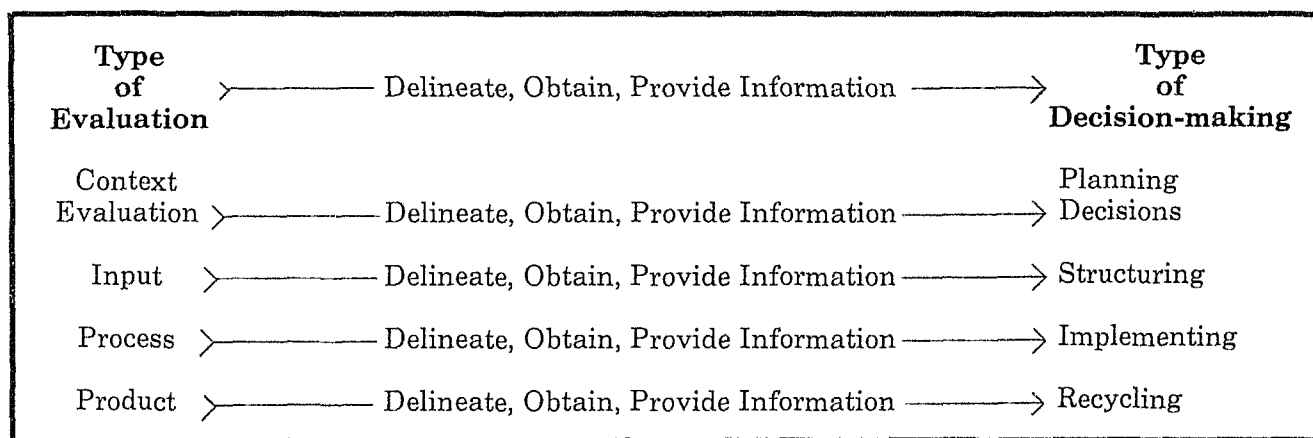
1. What happened? What were the positive results? What were the negative results?

2. What techniques seemed to work best?
3. What expectations — of yourselves and others — were realized? Not realized?
4. Should the program be continued? With modifications? By whom?
5. What new concerns/issues/problems were identified?
6. What did you learn? If you were doing it again, what would you do differently?

The sophistication of your evaluation efforts should be proportional to the complexity and sophistication of your program. Evaluation should and can be a management tool, not a liability.

The Four Types of Evaluation²

There are four kinds of evaluations — context, input, process, and product — which service four corresponding types of decisions — planning, structuring, implementing, and recycling. The relationships between evaluation and decision making for the different stages of project development are illustrated below:



Context Evaluation

Context evaluation is the process of need assessment and problem selection discussed in Chapters 2 and 3. It is the most basic type of evaluation in that it analyzes the environment or context for proposed programs by defining desired and actual conditions, unmet needs, alternative opportunities, values, etc.

Input Evaluation³

Input evaluation is similar to developing an action plan. The purpose of input evaluation is to service programming or structuring decisions by providing information on how to best use resources to meet program objectives. This is

accomplished by identifying and assessing existing and potential resources, strategies for achieving program objectives, and designs for implementing the strategies.

Input evaluation includes analysis of the potential costs and benefits for selected program designs. Different designs are assessed in terms of staffing, time, and financial requirements; potential procedural problems and the possibilities of overcoming these problems; logical relevance to the designs to program objectives; and overall estimated potential of the designs to meet the objectives.

Cost comparisons between different designs, and between proposed designs and the preexisting systems providing similar services, may

also be calculated with input evaluation.

Before demands for accountability increased, programs were typically evaluated solely on the basis of inputs. To some extent this practice is still encouraged by accrediting associations which have standards for inputs and the ratio of various inputs to clients or students. This approach is based on the belief that if basic inputs are included, one can assume that the output is likely to be worthwhile. Inputs to a criminal justice program may include activities related to advisory boards, volunteer recruitment and training programs, public relations, establishing a legal structure, staffing, facilities, etc. ***Inputs are not ends within themselves but are designed as means to some greater end.***

Standards for judging the inputs of criminal justice programs have been developed by the National Advisory Commission on Criminal Justice Standards and Goals and the American Bar Association. Standards for assessing the inputs into voluntary programs are continually developed and refined by the National Information Center on Volunteerism.

With the recent emphasis on results, input evaluation has fallen into disrepute in many quarters. Yet without an awareness of the inputs to a program, an evaluator can't know what worked or what did not work. Just knowing that desired results were or were not produced is not very meaningful.

Process Evaluation

After an action plan has been selected and work has begun, process evaluation is needed to provide feedback for making implementing decisions on whether to maintain or change procedures. Process evaluation has two related purposes: to serve as a management control to identify defects, impending problems, and obstacles in the action plan early enough to do something about them; and to obtain a record of the program as it occurs.

No matter how carefully you plan, it is unlikely that work performed will exactly match that which was planned. Rather, as noted earlier, planning is not a one-shot affair, but ongoing in that adjustments and refinements must be made continually during the action stages. Management controls are established to make certain that what is planned is achieved through making planning an ongoing activity.

As will be discussed later, it is not economically feasible to establish control measures on all the factors that might affect achieving your objectives. Rather, you must determine those

areas where failure is critical or where difficulties might cluster. Some key areas in your plan that might deserve special attention are those in which:

- failure will cost more than you want to pay;
- failure will ruin your plan;
- many things can go wrong at once;
- things are very complex;
- things are new or strange;
- it is hard to see the future;
- there are gaps or overlaps in responsibility;
- time deadlines are tight;
- money constraints are tight;
- things are changing;
- experience tells you things can go wrong;
- you revise your plan;
- you make questionable assumptions; and
- the performance of key people is vital to success.⁴

These are general areas where you should look for specific potential problems. Anything which can significantly impinge upon the time and other resources required to achieve your objectives, and the quality and quantity of the objectives should be controlled or monitored.

George Morrissey has divided process evaluation or managerial controlling into three steps:⁵ establishing standards, measuring performance, and taking corrective action.

Establishing Standards

In order to measure performance, there must be something to measure it against, and this is called a **standard**. A standard, then, is a gauge for effective performance in achieving objectives. Written statements of objectives, if prepared in accordance with the guidelines in Chapter 9, will either directly state or imply performance standards. In order to track progress toward objectives, however, specific benchmark standards are needed. Here we are interested in what is likely to go wrong in connection with the four elements of time, resources, quality, and quantity.

Establishing standards requires quantification of performance factors and frequently the acceptance of imperfect units of measurement as standards against which to evaluate performance. An example of an imperfect but sometimes appropriate standard measurement would be the use of client/counselor ratios and the number of hours in counseling to measure the effectiveness of a counseling program. A brainstorming session with project participants can help to uncover some measurable factors that can serve as standards of performance as well as encourage the participants' acceptance

of them. Examples of measurable factors sometimes used as standards are:

- people served,
- organizations served or contacted,
- number of persons recruited,
- work hours,
- calendar time,
- changes initiated,
- number of requests for services,
- dropout rates,
- number of reports prepared, etc.

Once the measurable factors have been identified, you must determine how much of each factor will be used to illustrate acceptable performance. For example, should counselors see eight clients a day?

Although most measurable factors are imperfect indicators of desired performance, it must be remembered that the purpose of a standard is to serve as a "red flag" for possible trouble points. Failing to meet a standard indicates that something may be wrong and that some sort of corrective action may be needed. Meeting or exceeding a standard indicates that the activity is going as planned or better than planned, but not necessarily that the activity accomplishes desired ends. This is determined through product evaluation.

Measuring Performance

Once performance standards have been established, you must decide how to measure performance against the standards. The measurement devices or methods must be visible so as to alert you when a significant variance in progress toward objectives occurs. These are the feedback devices that sound alarms or send up the "red flag" to warn of impending failure or problems.

There are numerous ways to collect and display the information needed to measure performance. To the maximum extent possible, you will want to plan for and coordinate your information needs from the very beginning to avoid duplicating efforts or failing to collect essential data. Information required by funders and information needed for evaluation (process and product) should be coordinated. You may need to assure — if you can do so honestly — your staff that the information collected will not be used as a weapon against individuals.

Several feedback mechanisms — information collection and/or display techniques — are listed below:

- personal observation,
- observation by others,
- interviews,
- questionnaires,

- rating scales,
- daily, weekly, or monthly report cards (e.g., open-ended reaction sheets),
- diaries kept by program personnel,
- telephone logs,
- staff meetings,
- suggestion boxes,
- time cards,
- income and expense vouchers,
- charts and graphs,
- computer printouts,
- written reports, and
- periodic progress reviews with workers.

Before routinizing a control measure, you might ask these questions:⁶

1. What specific variances will this control measure identify?
2. What significant variances might not be effectively identified?
3. How much lead time is required to take sufficient corrective action? Does this control measure allow sufficient lead time?
4. How much time and effort will be required to apply this control measure? Does the value justify the cost? Is there another, less costly measurement method available?
5. What is the danger of overcontrolling? How can this be minimized?

To serve as a control, information collected has to be summarized, analyzed, and displayed in some manner. Record keeping and accounting systems are essential.

Record Keeping. Records on specific individuals — volunteers, and clients or offenders — and system records on all individuals or activities involved in a program should be kept.

Individual records should be designed so that data from them can be pooled to form the system records you need. The information needed for individual records will be determined by the nature of your program. The listings provided below are only illustrative.

Volunteer records might include the following:

- registration or application form or personal data such as address, phone number, next of kin;
- date joined the project; date terminated;
- any examinations or tests that the volunteer may have taken;
- information on training programs attended;
- listing of assignments with name of clients or client groups with whom he worked;
- the volunteer's reports of his assignments, hours worked, attendance at meetings, money spent, and mileage; and
- name of current supervisor and any notes

on the supervisor's evaluation of the volunteer.

Individual volunteer records are useful for reviewing the performance of volunteers, validating awards and other forms of recognition, quickly locating a volunteer in the event of emergencies, determining legal responsibility in the event of accidents or suits, etc.

Client or offender records might include the following:

- name, address, age, sex, and name of next of kin;
- type of offense (when applicable), school performance or work situation, family income and family situation;
- entrance date and reason for entrance, termination date and cause for termination;
- type and amount of treatment or service delivered;
- name of person assigned the case; and
- contacts and changes in status with the criminal justice system.

Spot checks of individual records may be used as a control device, but system records are geared to letting you know at a glance what is happening in the overall program. System reports typically show monthly activity statistics and/or trend statistics. For example, with a youth service bureau, a monthly activity profile might show:

- Number of youth referred to the bureau by age, sex, referring agency, referral problem, and area of residency; and
- Referrals made by the bureau in terms of nature of presenting problems and agency referred to.

A spinoff from such monthly activity reports could be the development of a series of trend indicators which would allow the bureau to monitor its activities over time. For example, it would be useful to determine if there were seasonal fluctuations in referrals so as to allow the staff to better anticipate periods of high and low workload.

Project records should also be kept of orientation and training materials, job descriptions, minutes of meetings, summaries and dates of major agreements and decisions, background on issues and research, copies of newspaper articles related to the project, lists of participants and key contacts, correspondence, bills, receipts, and invoices.

Accounting and Bookkeeping. Financial accountability is extremely important and stringently demanded by all public and most private funding sources. Accounting is being able to say — and document — where the money

went and is going. Budgeting is financial planning and like all planning is subject to errors in judgment and unanticipated changes, such as increases in the costs of major expense items. Through accounting, budgeting can be handled as ongoing planning. Accounting enables you to understand how you are progressing in relation to the original budget. If results are different, you are able to find out why and deal with the situation.

The services of a professional accountant should be secured to set up your initial accounting system and to conduct periodic audits. Programs set up in conjunction with existing city, county, or state programs or agencies may be able to use that governing body's accountant and/or bookkeeping system. A local business firm; local chapters of the American Institute of Certified Public Accountants, the National Society of Public Accountants, the National Association of Minority Certified Public Accounting Firms; or an accounting professor may be able to suggest a volunteer. Also see the listing of management support organizations in the resource chapter.

Regardless of who sets up the accounting system, it is imperative that the leaders of your organization really understand the system and the reports that it generates. Accounting is one of the most important management controls, but it must be understood to be of maximum use. Two basic financial reports that you will need to work with are the income statement (revenues and expenses) and the balance sheet (debits and credits).

Once the system is established, you can use simple bookkeeping procedures for daily, weekly, and monthly records.

See Helpful Information Sources for references on accounting and related practices, and the resource chapter for a listing of management support organizations that work with voluntary groups.

Taking Corrective Action

The purpose of process evaluation is to enable you to correct flaws and mistakes before they ruin your project. There are basically three types of corrective action:

1. **Self-correcting Action.** Variance is sometimes caused by one or more workers not performing as desired. Frequently if the workers receive feedback that their performance is not meeting expectations, they will correct their own performance. Clearly, the standards by which performance is judged must be understood and accepted by the workers.

2. **Operating Action.** The committee chairperson or project manager may intervene and personally do the work or assign it to someone else. If this happens too frequently, the leader may not only be wasting his time but also encouraging others to let him correct their problems for them.
3. **Management Action.** Here the project leaders review the management process that led up to the variance. It may have resulted from poor planning or an unexpected event may have made it unavoidable. The original objective and the action plan may have to be modified.

The Cost of Controlling

Controlling, or process evaluation, takes time and effort that could otherwise be devoted to producing activities — those directly related to achieving objectives. Carried to its logical extreme, staff can spend so much time monitoring and reporting on their work that they don't have time to do the work. A cost-benefit analysis should be done on all major controls to determine if the potential benefits are worth the effort. The cost of assuring that you are always right and that everything is progressing as planned is prohibitive.

Good context and input evaluations lessen the need for extensive process evaluation. Also while process evaluation is relatively more important than product evaluation in the early stages of program implementation, as your program becomes more structured and less exploratory, product evaluation moves into prominence.

Product Evaluation

Product evaluation services recycling decisions on whether to maintain, modify, or terminate the program by providing information on the extent to which objectives have been or are being achieved.

Michael Scriven introduced the widely used concepts of formative and summative evaluation to subdivide the varied roles of product evaluation.⁷ **Formative evaluation** is ongoing evaluation conducted either continuously or at intermediate stages during the implementation of a program. Focusing on weaknesses and deficiencies that should be corrected and on strengths that should be enhanced, it serves as a feedback mechanism and allows changes and improvements to be made in the program being evaluated. **Summative evaluation** is the final evaluation of a program conducted at its conclusion. It provides a comprehensive examination of the program and thus permits general

conclusions on the success or failure of the endeavor. Both formative and summative evaluation provide input for decision making, and in practice the difference between the two is not always distinct, with formative evaluation leading into summative evaluation.

For some, evaluation means only what is being referred to here as product evaluation and is sometimes labeled output, payoff, or performance evaluation. This is the pinnacle of evaluation efforts, since achieving desired results is the *raison d'être* of all other efforts. Yet measuring results is insufficient since to interpret outcomes, information from context, input, and process evaluations is needed.

Your program objectives will determine the focus of product evaluation. Product evaluation almost always includes comparisons between actual results and desired results or standards. Some comparisons that might be made are these:⁸

- **Real conditions versus ideal** — comparison of existing project conditions with project's preconceived "ideal" results.
- **"Before" status versus "after" status** — comparison of persons, processes, and systems before the project's inception and after its implementation.
- **Analysis of agency reactions to project participants** — data on agency actions with project participants, e.g., parole revocations, arrests, and convictions.
- **Program persons versus nonprogram persons** — comparison of individuals involved in the project with others — random sample, matched sample, or others — similarly situated who were not involved in the project.

Performance Criteria

When the focus is offender change rather than structural, procedural, or systems change, indicators of performance are needed. Listed below are several performance criteria frequently used to assess offender change.⁹

1. **Arrests.** Whether or not project participants were arrested during or following their involvement in the project is a frequently used criterion. These data have the advantage of easy access since arrests records are official documents. A major drawback of this criterion is that people who are arrested do not necessarily go to trial, and if they do, they may not be convicted. Also the reasons for an arrest are quite varied — from traffic violation to murder.
2. **Type of Offense.** Because of the weakness of arrest as a performance criterion it is

important to have supplemental information on the nature of the offense committed.

3. **Time until Arrest.** Chronic offenders participating in a program may later be arrested but, the time since their last arrest may have been much greater than it had been before participation. Reducing the frequency of rearrests and increasing the time till next arrest might be a performance criterion.
4. **Conviction.** Convictions are probably a more valid measure than arrests, although some "valid" as well as "invalid" arrests may be screened out during adjudication. Since months may pass between arrest and conviction, convictions are a delayed performance measure.
5. **Length of Time in Lock-up.** This criterion relates to conviction as seriousness of offense does to arrest. Of course, the length of time in lock-up may relate more to the performance of the presiding judge than to that of the offender.

Recidivism is frequently used as a criterion of program performance. Because of the disparities in the use of this concept, Ira Schwartz recommends that recidivism be viewed within the framework provided by the National Advisory Commission on Criminal Justice Standards and Goals:¹⁰

- Criminal acts are recidivistic when they result in court conviction and are committed either by individuals currently under correctional supervision or those released from correctional supervision within the previous three years.
- Technical violations of probation or parole occur which result in an adverse change in the offender's legal status by the sentencing or paroling authority.
- Information on technical violations should be maintained separately from data on reconvictions.
- Data should be reported periodically so that patterns of program change can be determined.
- Analysis by other relevant factors (age, offense, special problems, etc.) should be conducted to help explain patterns of recidivism.
- Status offenses should be treated separately.

An effective performance criterion must discriminate between different programs. If you were in a class or had a child in a class where everyone consistently failed the tests, you would probably question the tests being used as performance criteria since they did not discrimi-

nate between the good, the bad, and the marginal students. Many of the performance criteria just discussed have consistently failed to discriminate between the participants in any one program. Just as you might point out to your teacher that there were other performance indicators — homework, book reports, etc. — which demonstrated differences between the students, there are other meaningful criteria to use in judging the performance of offenders.

Dr. Ivan Scheier recommends a **multi-media approach** to evaluating criminal justice programs since the state of the art in assessment is not well enough developed for one index or performance criterion to tell all.¹¹ For example, in addition to repeat-offense rate, you might also look at attitudinal changes in the offender, development of new friendships, positive involvement in neighborhood or community programs, job problems resolved without quitting, ratings of the offender by peers, volunteers, and family, etc. Also there is a strong program justification component in evaluation; so you may need to assess performance in terms of what your sponsors or funders want to know which may differ from what you want to know or believe is appropriate.

Cost Effectiveness

As noted previously, in addition to concern with the results of a program, its cost effectiveness is important. Effectiveness at low cost is better than equivalent effectiveness at higher costs; when considering controversial or innovative programs, comparable ineffectiveness at lower cost may be preferred to higher costs. Frequently the monetary criterion proves to be a more effective discriminant among alternative programs than the behavioral criteria.

To determine the cost of a program, you must look at many factors other than out-of-pocket expenditures. With institutional programs, the possible foregone wages of offenders and the welfare support provided their families, not otherwise necessary, should be analyzed. With voluntary programs, the time donated by direct service and administrative volunteers including board members should be costed.

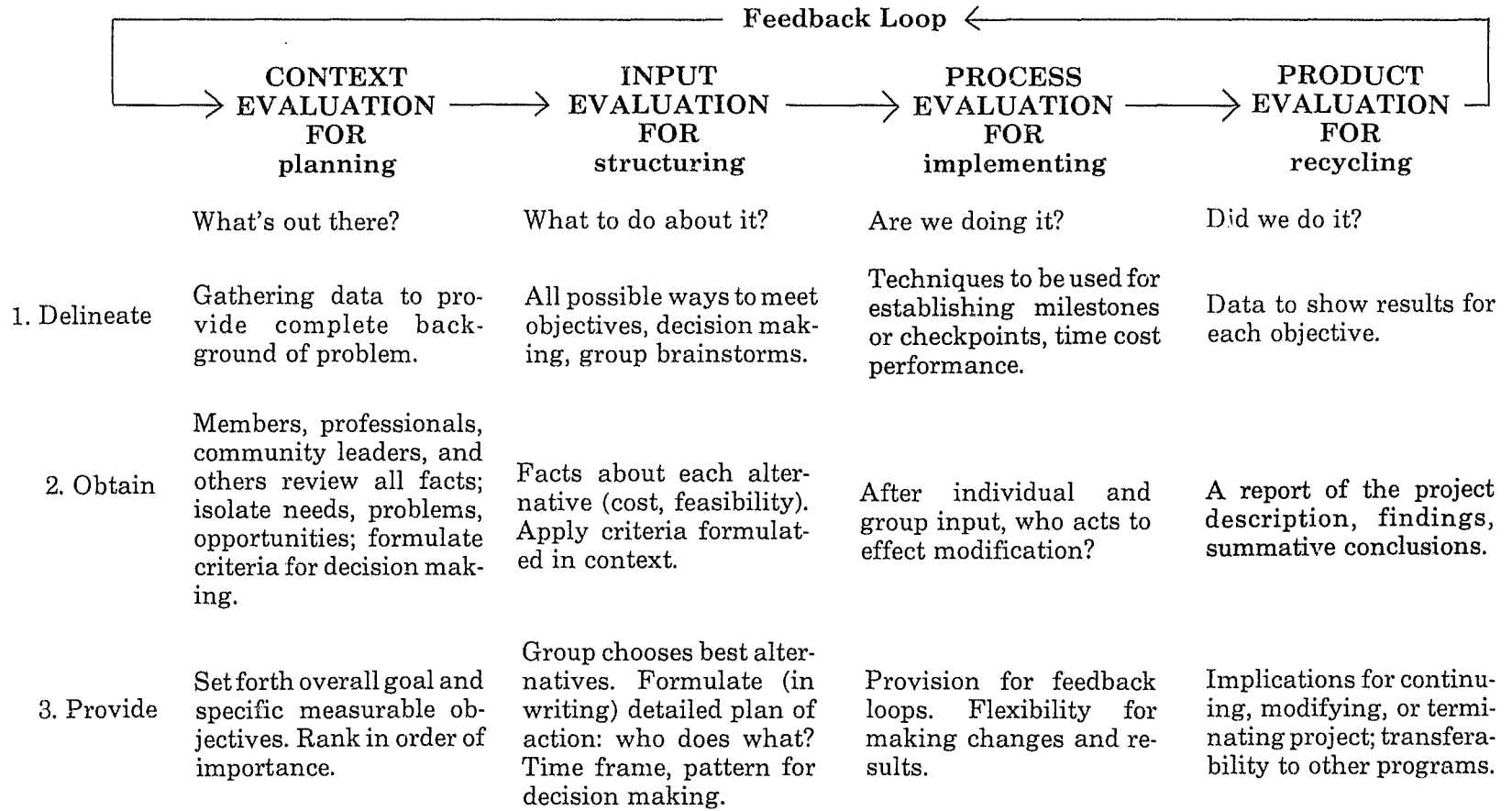
Cost comparisons between two or more programs look only at the monetary criterion. You might compare the costs of alternative voluntary programs or the costs of a voluntary program with a traditional criminal justice program.

Cost-benefit comparisons attempt to examine benefits other than cost reductions in the analysis of alternative programs. It is acceptable to include potential as well as clearcut

benefits when comparing the relative advantages and disadvantages of different programs.

Scope of Evaluation

Four types of evaluations have been presented as illustrated in the following chart.¹²



The feedback loop in the chart indicates that evaluation is an ongoing process.

Following product evaluation of a complete cycle of the project, the context or environment of the project must be reexamined to ascertain if there have been appreciable changes in needs, problems, and resources. A complete need assessment on the scale of the original one is not necessary, but new developments should be delineated and analyzed. Without this reexamination, the project cannot remain responsive to its environment and its relevancy may be lost.

Next, the procedures used to implement project objectives should be reassessed. Since the original project plan was formulated, there may be new developments in resource materials and other inputs, e.g., new training programs or manuals. Implications for work distribution may result from having established new relationships with other groups, obtaining new volunteers, etc. Also, insights gained through the experience of implementing the first cycle of the project will indicate changes that should be made. With process evaluation, a review of the control procedures used is needed to determine which ones actually helped project leaders to monitor progress and to detect problems and which ones were mere formalities or reports reviewed by no one.

Viewed as dynamic, ongoing processes, each type of evaluation can be used to make refinements and improvements in the project.

Staffing The Evaluation Effort

A frequently posed question is who should do the evaluation: someone on the project staff or an outsider? There is no one right way to staff an evaluation effort, but there are several considerations.

With internal evaluation, evaluators may communicate more effectively with other project staff because of their familiarity with and commitment to the overall program. Volunteers may be recruited or staff hired to design and carry out the evaluation. Outside assistance may be obtained to help get the evaluation system into operation and to periodically consult with the project staff implementing the evaluation plan. Even if the product evaluation is conducted externally, context, input, and process evaluations should be conducted by group members calling on outside consultants when needed.

The obvious advantage to external evaluations is that more credibility is extended to the

assessment because of the presumed objectivity of the evaluators. Some funding sources require external evaluations. The most frequently used external evaluators are colleges and universities, private nonprofit research and service organizations, and private, profit-making consulting firms. Each has advantages and disadvantages.

Because of the abundance of colleges and universities across the nation, and their faculty's theoretical and methodological skills, colleges are likely the primary external staff resource for program evaluation in criminal justice. With local institutions, there is the possibility of their providing the evaluation at no charge or for out-of-pocket expenditures only. A source of both strength and weakness with many college evaluators is their commitment to academic ideals necessitating a more thorough and scholarly effort than the consumer wants. A less defensible criticism of some college evaluators is their tendency to turn program evaluations into basic research projects more compatible with their own academic interests.

Increasingly, private, profit-making firms are including social program evaluation in their work. According to Stuart Adams in *Evaluative Research in Corrections: A Practical Guide*:

The firms emphasize the use of computers, system analysis, advanced statistical techniques, and where the data and problems justify it, simulation. Their work tends to be problem-oriented, strong in techniques or methodology, and weak in correctional knowledge and theory.¹³

Sometimes overly preoccupied with making a profit and getting repeat business, they may be solicitous of project leaders and provide a whitewash evaluation.

There are a few private nonprofit research organizations which conduct program evaluations. Frequently these groups have strong ties to the criminal justice field and include standard setting for the field as part of their functions. Their staffs are not likely to be as specialized as those in universities and profit-making firms. The more widely known groups in this category of evaluators are discussed in the resource chapter.

When planning for an external evaluation, regardless of who will staff it, take care to do the following:

- Spell out what you want from the evaluation. If you are not sure what you want, work with the evaluator in developing the evaluation plan. Statistical analyses can be so

complex that you will not understand them and thus can not use them for program improvement.

- Coordinate information collection for the external evaluation with the informational needs of progress evaluation or project monitoring. While project staff will likely be responsible for day to day record keeping, the external evaluator should be included when developing the record-keeping system.
- Encourage the evaluator to cut through the social science or consulting firm jargon and speak in terms comprehensible to the lay person.

For a detailed discussion of the problems in the initiation, administration, and utilization of evaluation studies, read Frances Caro's article listed in Helpful Information Sources.

The Politics of Evaluation

Many criminal justice programs — and consequently evaluations of them — include public policy or political issues as well as programmatic ones. For example, with a newly established vocational program for troubled youth,

- how well youth master the intended occupational skills is a programmatic issue; and
- whether the program, separated physically from the comprehensive school, rigidifies social class distinctions and reduces socioeconomic mobility is a public policy issue.

A program may be judged a failure on programmatic grounds but a success as public policy, or vice versa. However, while evaluators may be able to render fairly objective judgments on the programmatic outcomes of a program, they cannot do so with the public policy issues without deriving an "ought" from an "is." Judgments on public policy issues are determined by ethical or moral, not factual considerations.

The public policy context and the political orientation of many programs necessitate judgmental decision making. Personal value commitments, habilitative aims, goals, objectives, priorities, perceived norms, and standards are judgment data.

While it is clear that criminal justice programs are greatly influenced by judgmental decisions, evaluation literature does not reflect the importance of recognizing the influence of

such data nor does it provide procedures for gathering and analyzing judgment data.

The following quote by Robert F. Kennedy helps to illustrate the inadequacy of attempting to substitute objective measurements for judgmental data:

We cannot measure national spirit by the Dow-Jones average or national achievement by the gross national product. For the gross national product includes our pollution and advertising for cigarettes, and ambulances to clear our highways of carnage. It counts special locks for our doors and jails for the people who break them. The gross national product includes the destruction of the redwoods, and the death of Lake Superior. It grows with the production of napalm and nuclear warhead.

Evaluation of programs directed at changing human abilities and propensities requires value judgments or judgmental decision making. Those skilled in the procedures of evaluation research do not necessarily possess superior ethical values and insights. Harold Berlak very aptly described this paradox:

Critics of democracy have long pointed out that the hazard of a democratic system is that the people may not choose the wisest men to govern. This unhappy consequence disturbs me less than the expert who presumes he knows best what is good for society.¹⁴

If, as is frequently assumed, evaluation of criminal justice programs and other attempts to change or improve human behavior on a large scale do not tend to disclose as high a level of achievement as program advocates had hoped for, perhaps we should remember that an experiment can either be a replication or demonstration of the known or an exploration of the unknown or untried idea.

If criminal justice programs and experiments are to be more than demonstrations of the known, success can't be presumed or assumed in advance. Consequently, responsible criminal justice experiments deserve the right to fail.

However, in the past, those programs which have been the most strenuously evaluated have also been the most vehemently criticized since of course there are more (hard or "scientific") data and information on which to base criticism. This does not give innovative programs a fair shake.

Helpful Information Sources

Accounting

Bennett, Paul. *Up Your Accountability*. Useful to the nonprofessional manager of a small, nonprofit organization. Explains the concepts behind, and the basic procedures of an accounting system for such a group. These procedures include the setting up of your bookkeeping system and the preparation of financial reports. There are also good, brief discussions about budgeting and the use of accounting reports in making management decisions. Available from Taft Products, Inc., 1000 Vermont Ave., N.W., Washington, D.C., 20005. \$7.95. 66 pp.

Gross, Malvern J. *Financial and Accounting Guide for Nonprofit Organizations*. Most suitable for the treasurer or director of a nonprofit corporation who has had some accounting and bookkeeping background. It devotes extensive coverage to the preparation of tax returns, the budgeting process, and how to set up a bookkeeping system. Available from Ronald Press, 79 Madison Ave., New York, N.Y., 10016. \$13.50. 541 pp.

Miller, Thomas and G. R. Olson. *You Don't Know What You Got Until You Lose It*. Explains the function of accounting, budgeting, and tax planning for small nonprofit corporations and organizations. Contains good suggestions on how to secure low-cost help to improve your financial management. Available from the Support Center, 1424 16th St., N.W., Washington, D.C. Single copy free. Additional copies \$1.00 each.

General

Adams, Stuart, *Evaluative Research in Corrections: A Practical Guide*. Washington, D.C.: U.S. Department of Justice, Law Enforcement Assistance Administration, National Institute of Law Enforcement and Criminal Justice, 1975. Stock Number 2700-00270. \$2.00.

Albright, Ellen, et al. *Criminal Justice Research: Evaluation in Criminal Justice Programs*. Washington, D.C.: U.S. Department of Justice, Law Enforcement Assistance Administration, National Institute of Law Enforcement and Criminal Justice, 1973. Stock Number 2700-00210. \$1.75.

Caro, Francis G. "Issues in the Evaluation of Social Programs." *Review of Educational Research*, Vol. 41, No. 2, 1971, pp. 87-114.

Glaser, Daniel. *Routinizing Evaluation: Getting Feedback on the Effectiveness of Crime and Delinquency Programs*. Washington, D.C.: U.S. Department of Health, Education, and Welfare, 1973. Stock Number 1724-00319. \$1.55.

Suchman, Edward A. *Evaluation Research*. New York: Russell Sage Foundation, 1967.

NOTES

1. Cameron Fincher, "Program Evaluation: Approaches and Procedures," a paper presented at the Annual Forum of the Association for Institutional Research, Vancouver, British Columbia, May 16, 1973.

2. The conceptual outline for this model was adapted from work by the Phi Delta Kappa Study Committee on Evaluation. Daniel L. Stufflebean, Walter J. Foley, William J. Gephart, Egon G. Guba, Robert L. Hammond, Howard O. Merriman, and Malcolm M. Provus, *Educational Evaluation and Decision-Making* (Itasca, Ill: F.E. Peacock, 1971).

3. Input Evaluation has been labeled Intrinsic Evaluation by Michael Scriven (1966), and under some evaluation paradigms is referred to as process evaluation.

4. Adapted from Arthur G. Kirn and Assoc., *Lifework Planning Workbook*, 3rd ed. (Hartford, Conn., 1974), p. 9.

5. George L. Morrissey, *Management by Objectives and Results in the Public Sector* (Reading, Mass.: Addison-Wesley Publishing Co., 1976), Ch. 8.

6. *Ibid.*

7. Michael Scriven, *The Methodology of Evaluation*, Publication 110 of Social Science Education Consortium, 1966.

8. Stuart Adams, *Evaluative Research in Corrections: A Practical Guide*, U.S. Department of Justice, Law Enforcement Assistance Administration, National Institute of Law Enforcement and Criminal Justice (Washington, D.C.: U.S. Government Printing Office, March, 1975.)

9. *Ibid.*

10. Ira M. Schwartz, Michael J. Mahoney, and Donald R. Jensen, *Volunteers in Juvenile Justice* (Law Enforcement Assistance Administration, 1977). Available free from: National Criminal Justice Reference Services, Box 24026 S.W., Washington, D.C., 20024.

11. Ivan H. Scheier and Judith Lake Berry, *Guidelines and Standards for the Use of Volunteers in Correctional Programs*, U.S. Dept. of Justice, LEAA (Washington, D.C.: U.S. Government Office, 1972), Stock No. 2700-00236, \$2.80.

12. Adapted from *Planning and Evaluation for Statewide Development* (Ohio State University Evaluation Center, 1972), p. 27.

13. Adams, p. 31.

14. Harold Berlak, "Values, Goals, Public Policy and Educational Education," *Review of Educational Research*, Vol. 40, No. 2, 1970, p. 261.

Chapter 11

Funding and Budget Development

Raising lump-sum money is not an easy task today. With larger amounts required just to maintain existing programs, with foundations shrinking in both numbers and assets, with government priorities continually changing and taxes ever increasing, successful project funding demands considerable skill.

There is money available, however, if the seeker knows where to look, what to look for, and how to deal with what is found.

Competition for funds is greater than ever, and accountability more stringent. Current interests of funding sources continue to influence their receptiveness to any proposal, regardless of merit or urgency. Obviously, these factors must be kept in mind when the decision is made to seek funding for any privately sponsored project.

Funding Sources

There are a number of funding sources, each with its own set of procedures, limitations, and interests. These are

- **Public** — These are federal, state, county, local, and sometimes regional governmental units. The principal federal sources include the Justice Department's Law Enforcement Assistance Administration (LEAA), the Department of Health, Education and Welfare (HEW), the Department of Housing and Urban Development (HUD), and the Comprehensive Employment and Training Act (CETA) in the Department of Labor (DOL).
- **Foundations** — These include general purpose, special purpose, corporate or company, and family or community foundations.
- **Corporations and Trade Associations** — Drug, oil, and textile corporations have been prominent sources of funding in the past. More and more trade associations and private firms are funding civic projects.
- **Fund-raising Special Events** — Bazaars, fairs, charity balls, award dinners, concerts, art shows, car washes, bake sales, and numerous other special events may be held to raise funds. They can also produce publicity for your project, as is discussed in

Chapter 16. Local groups supportive of your project might hold fund-raising events for you. Although not discussed further in this chapter, references on planning special events are listed under Helpful Information Sources.

- **Direct Appeals to Individuals** — Individuals can be approached for donations through the mail, media, door-to-door canvassing, or street collections. Since the public is receiving nothing tangible for its contributions, the cause or goal of the project must have widespread appeal. The public will need to be educated about the problem and how the money raised will be used to meet that need. References listed under special events in the Helpful Information Sources section have guidelines for conducting direct appeal campaigns.
- **Purchase of Services** — If the project is to provide services to existing community agencies or to their clients, a fee might be negotiated whereby the receiving agencies agree to pay your organization for your services. The fee might be based on a per case basis, or a set allotment might be provided on a scheduled basis. Fees could be interpreted more broadly than cash to include staff assistance, facilities, equipment, or other materials.
- **Fees for Membership** — People could be requested to join your organization by paying a certain fee. Membership dues might entitle members to a newsletter or to voting rights in major decisions affecting your organization or project. Charging a membership fee might pose problems in recruiting youth and poor people.
- **Organizations** — The Community Chest, United Way, United Givers Funds, and other civic service organizations or churches might provide financial assistance.

The remainder of this chapter focuses on the first three sources of funds — governmental agencies, foundations, and corporations.

Thinking Through A Funding Request

To be successful in seeking funds, careful advance preparation is imperative. Contrary to

common belief, there is no magic formula, expensive training, or catch phrase that alone assures success; rather, it is thoughtful study, painstaking research, and devotion to cause. As outlined in the preceding chapters, much advance thought must go into clarifying what you hope to accomplish, how you plan to do it, how much it will cost, how you plan to evaluate your success or failure, what overall contribution your project or program will make, and whether your organization has the commitment, enthusiasm, and expertise to carry it out.

All funding organizations want to believe that they are spending their money wisely and usefully. Preferably they wish to invest in a product or service with a worthy public relations value or commitment — something of positive dimensions and potential achievement.

Before writing a proposal or approaching a funding source, consider carefully and be prepared to justify (and defend, if necessary) the following:

1. Purpose and Definition of Project

- a. Is the purpose stated concisely?
- b. Is this a new activity? Has the field been researched to find similar projects? Were they successful? Did they fail? Why?
- c. How long will the project last? What happens at the end of the funding period? Is the project a continuation of a previously supported program?
- d. What immediate and long-range results are expected?
- e. Will these results help other organizations? Will they make a contribution to a larger goal?

2. Background of Request

- a. How long has your organization been in existence?
- b. What are its basic purpose and membership provisions?
- c. Is the organization tax exempt?
- d. What other organizations are active in the same or similar activities?
- e. How is this project unique?
- f. What are the cooperating organizations, if any? How will they be helped?
- g. What is the relationship of this project to the overall program of the requesting organization?
- h. Does this project have the support of the necessary personnel (trustees, officers, administrators, staff) of the requesting organization?

3. Personnel

- a. What are the professional qualifica-

tions of the staff who will be doing the proposed work?

- b. Will additional staff be required for this project? Are they readily available?
- c. To whom will they be responsible?

4. Financial Data

- a. What is the current operating budget of your organization and its sources of current income?
- b. If funds are granted for the proposed project, what provisions are now being made for financing beyond the grant period if work is to be continued?
- c. Have requests for financial aid for this project been submitted to other sources? Have requests been submitted to other funding sources for other projects? List previous grants.
- d. What is the anticipated budget for this program? What provisions have been made for independent audit of budget expenditures?

5. Evaluation

- a. Is there professional or other support for validity of this project?
- b. What type of progress reports are planned? How often will they be prepared? Who will receive them?
- c. What provision has been made for objective evaluation of the results, short and long range?

Deciding on a Funding Source

To reduce the number of rejections — and there will be some, even with the best prepared proposal — careful study and research must precede submission of a grant request. The approach to the funding agency, the time required to act on the proposal, even the amount of political control differ with each of the major funding sources. In general, however, allow at least a year of lead time.

Governmental Sources

- Survey possible governmental grant programs for which your organization can qualify. The federal government section of the resource chapter presents information on the Law Enforcement Assistance Administration's current grant program for citizen-sponsored criminal justice projects. Also seek the guidance of local funding experts. Many cities and counties have

grantsmen or intergovernmental coordinators employed to keep on top of available grant monies.

- Be sure there are uncommitted funds; then go after them.
- Determine how these funds are distributed or allocated in your local political jurisdiction. Each category of funds, including revenue sharing funds, usually has a single state agency through which the funds are channeled. Examples include a state or regional planning commission, or the governor's commission on law enforcement. The governor's commission will usually have local counterparts in the county or city which must approve grant applications.
- Determine the identity of the people who make decisions on the distribution of funds. Arrange an interview with them and sell yourself, your group, and your project to them. If you are fortunate enough to find an interested person, follow his directions and advice on how to apply and what information to provide. Including members of city, county, state, or local federal government offices in planning the project may facilitate obtaining funds from government agencies.
- Involve board members, trustees, staff, and friends of the organization who have political clout and who know how to involve and negotiate the local political structure.
- Plan your timetable for applying. Timing is very important. Know project submission and review timetables and deadlines.
- Be prepared to fill out complicated and tedious forms. If applying for governmental funds, there are standard forms that must be filled out. Specific questions will have to be answered following fairly specific guidelines. Do not deviate from the offered forms; more likely than not, the governmental grant application form will ask you to answer the same thing in three different places; do so. Do not write "refer back to page four and page eight" — somebody else may have page four and page eight. The reviewer will be stymied and your application may be sidetracked.
- Follow up on the status of the grant application after each review period. Attend subcommittee and committee meetings of state and local funding agencies. Contact officials after meetings to clarify questions that they have, thus preparing them for the final vote.
- Investigate the possibility of public organizations purchasing services from your

project. This approach may be better than a money grant.

- Learn to keep up with the trends: try to find out what government organizations are interested in and willing to support and test. Because of insufficient funds to do everything needed, governmental funds are focused on changing targets or priorities. If, for example, it is determined that a funding agency is currently emphasizing court reform, show how your proposed project relates to this concern. Since the elements of criminal justice are so interrelated, your project is likely to support in some way almost any funding priority. Delineating the link is up to you, however. It is equally important to learn and use the governmental jargon of the funding agency.
- Obtain copies of the funding agency's publications on grant guidelines to use when planning your funding request and preparing your proposal. LEAA publishes a *Guide for Discretionary Grant Programs* and state planning agencies publish *State Block Grant Guidelines*.
- Use the 1976 *Catalog of Federal Domestic Assistance* and Philip Des Marias' *How to Get Government Grants* as resource tools. (See Helpful Information Sources.)

Private Sources

- Know the interests and funding practices of all the private funding agencies in your area.
- Be sure to enlist your organization's active board members. This is a must in order to bolster support for the organization and its capabilities. They must demonstrate interest and enthusiasm in the project proposal and what it can accomplish. Your board members are one of your most important contact points with community leaders.

Foundations

- Compile a list of foundations which would appear to be interested in supporting the operations of the organization you represent or a particular project which your organization wishes to undertake. Pay special attention to those located in your state. An invaluable document to use in compiling this list is the *Foundation Directory*, prepared by the Foundation Center, and its supplements, called *Information Quarterly*. These materials, plus many more, are available in most public libraries.

- Review the purposes of the foundations on your list, together with their current interests and activities, special limitations, assets, total expenditures, gifts received, and the number and total amount of recent grants awarded by them.
- Obtain annual reports from the foundations you decide to approach. These reports will tell you who the board members and officers are so that any personal contacts with them can be utilized. The annual reports will explain the foundation's philosophy, new interests, and directions in granting patterns. They will allow you to present a proposal within their interests but not exactly duplicating something to which they have already committed substantial funds. Consider their average grant size and whether or not it would be a waste of time to approach them with your proposal.
- Where possible, plan a visit to the foundation to present your proposal in person.
- Prepare a concise summary proposal (not more than two pages) describing the activity you wish to undertake, its purpose, how long it will take, and the amount it will cost, leaving nothing to guess work. Allow room to modify and change emphasis depending on the interests of the funding agency. Never, in the first submission — unless specific guidelines and questions have been provided — should a comprehensive, structured proposal be submitted. It is too easy to turn down a proposal that is too rigid and leaves no opportunity to modify its focus and methodology. Indicate, however, that you will be happy to submit a more detailed proposal if so desired.
- Should a personal interview be refused or the distance be too great to be practical, prepare a brief cover letter — four to five paragraphs — in which you attempt to compare the interest pattern of the foundation with the nature of your request. The cover letter should be addressed to the individual listed as the executive director or executive secretary.
- If available, send along with the mailed proposal a good piece of descriptive literature, a current annual report, a current financial statement, documentation of tax exempt status, and/or a brochure describing your organization's general purposes and activities.
- Follow up the proposal submission in three or four weeks with a telephone call or a follow-up note. This follow-up is accepted and expected practice.

- Submit proposals to several foundations at the same time. This is proper and expected. Do not emphasize, however, the fact that you are approaching other foundations, unless you want to split the proposed budget among several foundations. Foundations like to see that other foundations are willing to support a project.

Corporations

Corporations generally will give funds only if the project has local impact and their employees or constituents will be helped. Sometimes they will help if the project improves their community relations and advances their business advertising. A corporation checklist for reviewing fund requests would most likely contain the following questions:

- Is the request legitimate and valuable?
- Will the grant advance the community relations and/or the public relations of the company?
- Is the request consistent with the company's place in the community?
- Are there any legal restrictions or tax problems?
- Is there any public opposition to the requesting organization and the project?
- How many employees does the company have in the community?
- How many company employees are served by the requesting organization?
- Is this a one-year request, or does it open the door to other requests?

The Personal Touch

Regardless of which major funding source is selected to be approached, all authorities in the fund raising field stress the importance of personal contacts. This can be in the form of an introductory phone call or, better still, a personal interview. The personal contact is used to convince the granting organization of the credibility and capability of the requesting organization and the people who will be administering the funds.

Joseph Dermer (*The New How to Raise Funds From Foundations*) considers the personal interview a must. He believes that most foundations — especially the small ones with no grant review staff — are greatly influenced by and make most of their grant awards as a result of personal contact.

Foundation executives and fund raisers stress over and over again the importance of persistence — not becoming discouraged at the first

turndown. Continue to call even though you might have to make as many as ten to twenty phone calls. In the end, if you succeed in arranging a personal interview, you will be miles ahead of others competing with you for foundation funds.

Once you have obtained the interview, prepare for it carefully.

- Tailor your approach to the philosophical orientation of the foundation.
- Send or take along a prominent person who is familiar with your organization.
- Be enthusiastic and convincing, though not overly assertive.
- Keep any description of your project or group short and simple.
- Avoid any aspect that may be interpreted as controversial.
- Be prepared to shift the emphasis of your approach if it becomes necessary.
- Be prepared to answer any reasonable questions.
- Take along additional supplementary material. The interview may be short, but if your presentation is good and the executive is interested, he will hear you out.

Being prepared with the above information will be helpful in telephoning for a personal interview. This requires a flair for salesmanship and a capacity to keep going in the face of numerous turndowns and disappointments. Keep in mind that the initial telephone call may turn into a personal interview and be the only contact you will have before submitting written material.

If a grant is received from a foundation or corporation which does not have strict or extensive reporting procedures, it is very important to keep them well-informed of your activities and accomplishments anyway. Constant cultivation could mean another grant someday.

Budget Planning

If the project has been broken down into objectives and these divided into program steps with assigned schedules as outlined in Chapter 9, budgeting is simply a matter of estimating what it will cost to accomplish the program steps or the activities within the steps. Once each program step has been assigned a cost, add up all these costs to determine the budget estimate for the involved objective; then add up the costs for each objective to get the total project cost.

Estimating costs is difficult without prior experience with expending or controlling the funds for similar activities. If you personally have no historical data to apply in projecting costs for the project, consult agencies, groups, or individuals which conduct activities similar to those in your program steps. One of the management support groups listed in the resource chapter may be able to assist you with budget planning. Don't just guess at how much a typewriter, copy machine lease, telephone system, or utilities will cost. Investigate.

There are basically two kinds of funding: cash and in-kind donations. In-kind donations refer, of course, to donated materials, facilities, and staff assistance. When preparing the budget be sure to indicate the total projected cost of the project, including the donations of your group and other supporters. Dollar values should be estimated for the in-kind contributions, e.g., time donated by volunteers, and borrowed facilities.

In the absence of guidelines to the contrary, when preparing a budget for submission to a funding agency, include two columns: one for the cash being requested from the agency and the other for your contributions. This shows to what extent you are matching the requested funds. An example of the budget summary for personnel might be:

Personnel	Funds Requested	In-kind Match
1. Project Director \$18,000 p.a. x 100% Time x 1 yr.	\$18,000	
2. Project Secretary \$7,000 p.a. x 100% Time x 1 yr.	\$ 7,000	
3. Outreach Workers (Volunteers) 10 x \$12,000 p.a. x 25% Time x 1 yr.		\$30,000
Subtotal	\$25,000	\$30,000

Most governmental funding agencies award project funds for one to one-and-a-half years at a time, and if they provide extension or renewal funds at all, they generally do so only once. Thus, a project could be funded by the same agency for a maximum of three years. Consequently if your project is to be ongoing, begin seeking future funds at the very start. Federal agencies and many foundations view their grants as seed monies to initiate innovative programs which, if effective, must ultimately be picked up by local or private funding sources.

Since so many programs have been seeded in the past, and local governments are already financially strained, it is imperative to work closely with these ultimate funding sources during the early stages of project germination. Constant vigilance for alternative sources of funds is required.

Each funding source will have guidelines on the type of budget presentation it requires. Some formats are complicated with line items shown; others are quite simple and deal primarily with totals. Regardless of the format requested and used, careful thought must be given ahead of time to long-term budget needs to avoid being short of funds to accomplish what you say you are going to do over the funding period.

An effective cost-cutting budget technique that appeals to funding sources is to phase in the money amounts at different time periods. Since it is usually impossible in starting up a program to have all anticipated staff members report for work on the first day of the funding period, phase in their arrival on the payroll by one- or two-month intervals. Newly developed projects are sometimes more wisely divided into at least two phases: Phase I — three to six months start-up costs; and Phase II — fully operating costs.

Budget Checklist

To prevent as much as possible omitting items that should go into your budget, the following checklist is offered. It is not all-inclusive, but should stimulate your thinking. Your particular needs may require more or less detail.

1. Personnel (salaries)
 - full-time staff
 - part-time
 - hourly
2. Staff Benefits
 - FICA, insurance, retirement system, unemployment compensation, holiday pay, leave, etc.
3. Travel
 - Broken down into transportation costs

(mileage, taxis, air fare, parking fees) and subsistence costs (food and lodging).

- required as part of job
 - meetings
 - conferences and other staff development functions
 - consultants coming to and from project site
 - volunteer subsidies
 - other
4. Contractual Services
 - Consultant fees and subcontracts with other organizations.
 - bookkeeping/accounting
 - legal
 - evaluation
 - training
 - resource development
 - other
 5. Facility
 - rental cost
 - construction cost
 6. Utilities
 - water
 - electricity
 - gas and/or oil
 7. Equipment
 - Rental, lease, or purchase; and maintenance contracts.
 - typewriters
 - calculators
 - furniture (desks, chairs, etc.)
 - filing cabinets
 - desk equipment (tape dispensers, staplers, file boxes, etc.)
 8. Consumable Office Supplies and Materials
 - stationery/envelopes
 - note pads
 - pens/pencils
 - registration/application forms
 - training materials
 - certificates
 - housekeeping supplies
 - carbon paper
 - paper clips
 - calendars
 - typewriter ribbons
 9. Communications
 - telephone (installation, rental, and estimated usage costs)
 - postage
 10. Printing and Copying
 - forms
 - brochures
 - training materials
 - reports
 - letterhead

- correspondence and general information documents
- 11. Other
 - fees for workshops, conferences, courses, and professional associations
 - books, articles, reprints
 - originally developed materials
- 12. If a Residential Program (e.g., youth home, day care center, shelter facility)
 - bed linens
 - towels and washcloths
 - pots and pans
 - cutlery and flatware
 - dishes and glasses
 - food

- personal items (toothbrushes, toothpaste, combs, soap, shaving cream, etc.)
- clothes
- furniture (household, educational, recreational, housekeeping, etc.)
- 13. Indirect Costs

Sometimes, particularly if a project is sponsored or housed by an existing agency, costs for utilities, space rental, equipment, and the administrative burden for handling project funds (bookkeeping, accounting etc.) are considered indirect or overhead costs and charged on the basis of a percentage of the direct costs.

Helpful Information Sources

Of the many resources and references on fund raising, the ones listed are among the best and are available in most public libraries and/or for a modest cost.

General

The Grantsmanship Center
1015 West Olympia Boulevard
Los Angeles, California 90015

The center is a nonprofit organization focusing on fund-raising education. It conducts workshops in cities across the country on program planning and seeking funds from private and public sources. Current tuition is \$275. In addition the center publishes:

- *The Grantsmanship Center News*. An excellent magazine on planning, funding, resource development, and proposal writing. Published eight times a year. Subscriptions are \$15.00 for one year, \$29.00 for two years, and \$38.00 for three years.
- Low cost reprints with such titles as *Researching Foundations*, *Community Foundations*, *How to Obtain Funding from Local Governments*, *Program Planning and Proposal Writing* (a very widely used guide), and others.

National Youth Alternatives Project. *Stalking the Large Green Giant: Advice on Fund-raising for Alternative Social Services*, Washington, D.C.: National Youth Alternatives Project, 1830 Connecticut Avenue, N.W., Washington, D.C., 20009. \$3.00.

This 48 page publication provides suggestions and useful hints on how to obtain federal or foundation funding and to influence administrative and legislative funding decisions, e.g., making friends with local grantees and employees of federal programs. Includes illustrative outlines of funding proposals.

Public Service Materials Center. *The Complete Fund Raising Guide*. New York: Public Service Materials Center, 355 Lexington Avenue, New York, N.Y., 10019, 1975. \$12.50.

This 159 page book covers foundation and government grants, direct mail, house-to-house solicitation, capital campaigns, and special events to raise funds.

Private Sector Funding

Williams, Walker A. *Resource Development in the Private Sector: A Technical Assistance Manual*. Washington, D.C.: American Revolution Bicentennial Administration, 2401 E Street, N.W., Washington, D.C. 20276.

This 47 page book presents approaches for obtaining funds from foundations, corporations, and individuals. It includes how to identify potential sources of support, develop solicitation strategies, plan a budget, prepare a proposal, provide follow-up, and a useful bibliography.

Foundations

The Foundation Center is a nonprofit organization which researches, analyzes, and provides factual information on the philanthropic foundations. Services of the center include telephone service, mail service, research service, copy service, custom search of computer files, library service for visitors, and publications for free or sale. There are three national collections containing copies of all the Center's resource materials:

The Foundation Center
888 Seventh Avenue
New York, N.Y. 10019
(212) 489-8610

The Foundation Center
1001 Connecticut Avenue, N.W.,
Washington, D.C. 20036
(202) 331-1400

The Chicago Community Trust
208 South LaSalle Street, Suite 840
Chicago, Ill. 60604
(312) 372-3356

In addition there are fifty-three regional collections in thirty-nine states which have copies of the Center's major publications and maintain information concerning philanthropy in their geographical areas. For a listing of these regional collections and for general information about the overall program of the Center, its services, and publications, contact one of the three national Center libraries. Some of the Center's major publications available for research, and available for purchase are:

The Foundation Directory (5th ed., 1975). Considered by many to be the single most important reference work available on grant-making foundations, it is indexed by geographical area and fields of interest. 1,198 pages with four supplements. Available for \$30.00 from Columbia University Press, 136 South Broadway, Irvington, N.Y. 10533.

Foundation News. Focuses on current developments in foundation funding and lists recent foundation grants of \$5,000 or more. This bimonthly magazine is available for \$20.00 a year from Council of Foundations, 888 Seventh Avenue, New York, N.Y. 10019.

The Foundation Center Sourcebook (1976). Describes in depth 129 foundations with assets of \$10 million or more. Available for \$65.00 from the Columbia University Press.

Free pamphlets available from the Center include: "What Will a Foundation Look For When You Submit A Grant Proposal," "What Makes a Good Proposal," and "Philanthropy in the United States: History and Structure."

Dermer, Joseph. **The New How To Raise Funds From Foundations**. New York: Public Service Materials Center, 355 Lexington Avenue, New York, N.Y., 10017. \$8.95.

This 80 page manual is written in practical, down-to-earth language and covers all aspects of foundation fund-raising from getting appointments to writing proposals.

Special Events and Direct Appeals

Bond Wheelwright Company. **How to Succeed in Fund-raising Today**. Freeport, Maine: Bond Wheelwright Company 04032, 1976. \$6.95 paperback, \$10.95 hardback.

This 225 page book provides numerous ideas for planning and conducting local fund raising events, e.g., auctions, house tours, events with international or seasonal themes, etc.

League of Women Voters, **Shaking the Money Tree**. Washington, D.C.: League of Women Voters, 1730 M Street, N.W., Washington, D.C., 20036, 1969. 35 cents.

This 20 page pamphlet describes money-making projects for organizations with little or no seed money.

Leibert, Edwin R., and Sheldon, Bernice E. **Handbook of Special Events for Non-Profit Organizations**. Washington, D.C.: Taft Products, Inc., 100 Vermont Avenue, N.W., Washington, D.C., 20005, 1974. \$12.95.

Actual cases studies and reports of over 100 events conducted by local and national organizations are presented.

National Exchange Club. **Money Raising Ideas**. Toledo, Ohio: National Exchange Club, Toledo, Ohio, 43606. 35 cents.

This 32 page pamphlet discusses numerous money-raising projects under the general categories of entertaining the public, sales, continuing business projects, direct appeals to individuals, and intra-club activities.

Sperry and Hutchinson Company. **Ways and Means Handbook**. Fort Worth, Texas: Sperry and Hutchinson Company, Consumer Services Division, 2900 West Seminary Drive, Fort Worth, Texas, 76133. 25 cents.

This 32 page pamphlet describes how to plan and conduct a wide variety of money-making projects, including fairs, festivals, sales, tours, etc. Useful checklists and guidelines are presented.

Public Sector Funding

Catalog of Federal Domestic Assistance (revised periodically). This is the most comprehensive, indexed document on all federal grant programs. Send \$16.00 to the Superintendent of Documents, Government Printing Office, Washington, D.C., 20402, for a notebook-sized collection of loose-leaf sheets, plus all updates mailed to your address for one year. Binder available at extra cost. This document gives pertinent details on over 1,000 programs administered by 55 different federal agencies, from aging to youth development.

Guide for Discretionary Grant Programs. Write directly to LEAA in Washington for a single copy of their latest ***Guide***, which contains the annual plans submitted to LEAA by government planning organizations, including descriptions of projects funded or intended to be funded, and the procedures for applying for discretionary grant funds.

Des Marais, Philip, ***How to Get Government Grants***. New York: Public Service Materials Center, 355 Lexington Avenue, New York, N.Y., 10017. This is a very practical, "how-to" book.

The Junior League of Omaha's Blueprint for Action

Through consulting with criminal justice officials and conducting a fact-finding study on juvenile arrests, referrals to the juvenile courts, dispositions, and community resources, the Junior League of Omaha analyzed the need for a diversionary program for youthful offenders. In Douglas County, the time lapse between arrest and disposition — the point at which supportive services can be offered a child — was in excess of three months. Thus, children in need of assistance had to wait approximately ninety days for such services as crisis counseling, drug abuse therapy, psychological testing, or family counseling. The League study committee thought that those children referred to the juvenile court could have been given assistance in the form of supporting services more expeditiously and without the burden of a court record.

The cases of many arrested children were dismissed due to the heavy load of the juvenile court. This meant that while many of them needed assistance, none was forthcoming — other than the **absence** of a juvenile court record.

An alternative to official court processing and to dismissal without assistance was considered a compelling need by the League and many of the system officials with whom they talked. Volunteers in Diversion and Advocacy (VIDA) was designed to provide such an alternative.

Through careful study and meticulous planning, the League, in conjunction with the county attorney's office, developed the VIDA proposal and received funding for the program from the Nebraska Commission on Law Enforcement and Criminal Justice. On the following pages VIDA's objectives and the action blueprint for one of them will be detailed.

Objectives

1. To provide for the delivery of supportive services within ten days for all children referred to VIDA by the county attorney's office.
2. To reduce the percentage (hopefully by 15 percent) of youthful offenders referred to juvenile court each year in Douglas County.
3. To avoid stigmatization and labeling of all youth referred to VIDA through a process of voluntary diversion.
4. To establish and operate an ongoing system

of qualitative analysis of agencies which offer services to youth and their families.

5. To lessen the burden to the taxpayer by offering services which are equal to or better than those offered by the juvenile court at 80 percent less cost per child.

VIDA is a good example of a project which began with a thorough need assessment and problem clarification that evolved into five specific objectives which focus on results to be obtained by the project.

Each of the objectives is a statement of commitment to action which directly relates to the achievement of goals. Each objective specifies a key result to be accomplished. Each key result is individually contained within a separate objective, and attainment of a key result would indicate attainment of the objective.

The construction of the five objectives allows for an identification of factors which can be verified and measured to gauge the success of the project in terms of realizing the objectives. For instance, by checking the records of VIDA and the supporting service agencies one could determine whether or not children are receiving services within ten days, or whether or not the percentage of youthful offenders referred to juvenile court has been reduced on a yearly basis, or whether or not an ongoing system of qualitative analysis has been established, or whether or not the cost per child for services has been reduced by 80 percent.

The avoidance of stigmatization may be more difficult to measure quantitatively as an objective. The key to this objective is the process of voluntary diversion. Stigmatization was quantified to some extent in the action plan for that objective which provides that VIDA:

1. will not coerce any child into treatment;
2. will not refer a child back to the county attorney's office should he fail to cooperate with VIDA;
3. will maintain confidential records and not provide information to anyone without written permission of the child;
4. will operate a facility that is not threatening or stigmatizing because of its location; and
5. will assure that those agencies to which children are referred do not label or coerce.

The objectives as stated do not include a target date for accomplishment nor do they consider costs. However, a separate timetable was prepared which clearly states when the objectives should be accomplished.

Programming the Objectives

Each of VIDA's objectives was programmed in terms of the steps necessary for its attainment. The program for one of the objectives is detailed below:

Objective: to provide for the delivery of supportive services within ten days for all children referred to VIDA by the county attorney's office.

Preliminary: County Attorney's Office Procedures

1. Complaints against all youths referred to the county attorney's office will be reviewed by personnel of that office according to the following criteria:
 - a. age of offender
 - b. offense charged
 - c. number of previous offenses
 - d. emotional maturity of child
 - e. victimless crime or victim crime
2. Personnel of the county attorney's office will exercise discretion as to whether the child's best interest can be served through referral to the juvenile court or through diversion to VIDA.
3. Should a determination be made by the county attorney's office that the child's needs can best be served through referral to VIDA, an official of the county attorney's office will contact the VIDA Program Coordinator with information regarding the child.

VIDA Operations

First Major Step: To interview all of the children referred to VIDA by the county attorney's office within three days.

Detail Steps:

The VIDA program coordinator will arrange for for an intake interview to be conducted between a VIDA advocate and the child in one of the following manners:

1. When a VIDA advocate is present in the VIDA office at the time of the child's referral, the child will automatically be assigned to and interviewed by that advocate on the same day of referral, if possible.
2. If no VIDA advocate is present in the VIDA office at the time of the child's referral, the program coordinator will do one of the following:
 - a. serve as the advocate for that child and interview the child on the same day of referral, or
 - b. assign the child to a VIDA advocate who will conduct an interview with the child within three days.

Second Major Step: To determine during the interview if the child should be referred to a supporting service program or agency.

Detail Steps:

1. Complete the client interview report form.
2. With the child and family, assess the child's needs.
3. With the assistance of the program coordinator, determine the supportive service agency to which the child will be referred, if such support is desired by the child and family.

Third Major Step: To arrange for the provision of the supportive services (if such a need is determined) for all children referred to VIDA by the county attorney's office within one week after the date of the child's initial contact with VIDA.

Detail Steps:

1. Program coordinator will arrange for an appointment between the child and the staff of the appropriate supportive service agency.
2. VIDA advocate will accompany the child and family to their first scheduled appointment with personnel of the supportive service agency and will:
 - a. remain with the child and family for the duration of that meeting;
 - b. meet with the "intake agent" who will have contact with the child;
 - c. be instructed as to the methods that the supportive service agency will use to assist the child; and
 - d. complete the interagency referral form (developed by VIDA) and obtain the signature of a staff member of the supportive service agency.

Fourth Major Step: To conduct a follow-up on each child referred to a supportive service agency within one week after referral to determine if needed services are actually being delivered.

Detail Step:

1. VIDA advocate will contact the child and family to see if they regard any services provided by a supportive agency as satisfactory.

Fifth Major Step: To perform follow-up procedures within one week after the date of VIDA's initial contact with each client referred to VIDA, who has not been subsequently referred to a supportive service agency for the purpose of again offering services to the child and his family.

Sixth Major Step: To provide ongoing follow-up on each VIDA referral at the intervals of one, three, six, nine, and twelve months after the child's first contact with VIDA. Each follow-up report will include:

1. Is child in school?

2. Is child employed?
3. Has child had any further contact with law enforcement officials?
4. If the child was referred to a supportive service agency by VIDA, what is the child's progress with that agency?

Seventh Major Step: On the last day of each month, the program coordinator will prepare a summary report for the county attorney's office to include the name of each child referred to VIDA during the month, the date each child was interviewed by a VIDA advocate, and the supportive service agency to which the child was referred, if applicable.

VIDA's timetable of operations was:

1. To establish and implement a program of diversion and advocacy for youthful offenders in Douglas County by June 1, 1976;
2. To provide for sufficient agency and volunteer resources to accommodate the diver-

sion of 1,200 juveniles from the juvenile justice system by June 1, 1977;

3. To devise and implement a system of qualitative analysis of youth-serving agencies in Douglas County by December 31, 1976;
4. To research, analyze, and assess the effectiveness of 150 youth serving agencies in Douglas County by December 31, 1976; and
5. To acquire the services of a professional evaluation team to perform a comprehensive evaluation of VIDA every six months, the first evaluation to be completed by December 31, 1976.

The VIDA program is staffed primarily by volunteers. After termination of the League's sponsorship, VIDA is being continued under the auspices of a local agency which was represented on VIDA's advisory board.

The Junior League of Charlotte Faces Tough Decisions In Planning Group Homes

Youth Homes, Incorporated, is an independent agency now operating four group homes for delinquent and predelinquent youth referred by the County Department of Social Services. The opening of the first home in January 1976 was the culmination of three years of planning, which moved from need assessment to program development. At various stages, modification and adjustments in the original plans were required by both expediency and limitations imposed in order to secure the most readily available funding.

During the planning period, one of the most critical factors was maintaining the interest of League membership. As would be expected, once members became concerned about criminal justice needs in their community, they wanted to start their own project to begin meeting those needs. But one of the early decisions was to work within the framework of the power structure, thus enabling the League to have a greater impact on the juvenile justice system than simply operating one group home on its own. The League's role in developing Youth Homes, Inc. was to serve as the coordinator, facilitator, and catalyst in getting community groups to converge to meet what was recognized as a priority need.

At about the same time the League became interested in a criminal justice involvement, Mecklenburg County set up a Youth Services Action Board staffed by the County Youth Service Bureau. The Youth Service Bureau was a service and referral agency with which the League had worked closely from its inception. The Action Board was to come up with recommendations to the county commissioners for a plan to prevent and treat juvenile delinquency. This was in early 1974. By this time, the League, following the **IMPACT** conference, had appointed a criminal justice committee and had completed a community survey. The chairperson of this committee was appointed as a member of the County Action Board. She and all other members of the League committee were able to persuade the membership to await recommendations of the board, feeling certain that the plan would point to the need for group homes. This was hard to do because the League, as a result of its research and material discussed at the **IMPACT** conference, was convinced that group homes were needed, and there was great pressure to get started with these. However, no action was taken until the plan of the Action Board was presented and approved by the county commissioners.

This plan did, as was expected, recommend the establishment of group homes for use by the County Department of Social Services. It also made the Action Board an official body which, among other things, was to pass on all county-sponsored programs. The Youth Service Bureau was designated as its staffing and monitoring agency. The League member was continued on the Action Board. In the spring of 1975, the League authorized the expenditure of up to \$25,000 for a group home program. The League was now ready to develop the operational plan for the project, and to seek additional funding and county approval.

The recommendation of the county plan was to develop six group homes under the Department of Social Services, so the League then moved into extensive planning with that agency and the County Youth Service Bureau. During discussions, the director of Social Services proposed that these homes might best operate under the auspices of an independent agency. The director felt that many positives could be gained with that approach which could not be achieved by a large multi-purpose public agency operating the group home program. The idea that they should be a catalyst for the creation of a new agency was new to the League. However, the more it was discussed with other county officials, private consultants, and Youth Service Bureau staff, the more apparent the advantages became. First, since incorporation would require a board, this would mean citizen involvement beyond League membership and Social Service staff. Secondly, the program would have greater flexibility in terms of its program content and the type of client it served.

With the help of outside consultants, legal advice, and community leaders, Youth Homes was incorporated in May 1975. The chairperson of the League criminal justice committee was named as the first chairperson of the board of directors. The board consists of eighteen persons including lay citizens, the director and attorney for the Department of Social Services, and the director of the city's neighborhood centers. This board is assisted by an advisory board made up of professional staff of child-caring agencies in the community.

Organizing as a corporation was just one of the steps which was taken during this period. Based on advice from several professional sources, the parent-teacher model of treatment was adopted.

This model, unlike others, uses paid foster parents trained to work with both the child and the family. While highly recognized as an effective treatment approach, it does not lend itself to direct relationship between the children and volunteers, so that the direct service role envisioned by many League members was lost.

Another serious limitation to the original concept was the fact that the funds, as originally anticipated, were not available through the state when the corporation needed them. Rather than cause further delay, it was decided that community development funds available to the city of Charlotte would be used through the city's subcontracting with the county, which in turn would subcontract with the corporation. Not only did this add to the financial red tape, but city interpretation of federal policy made it necessary

to limit participants to children living in specified urban development areas. This proved to be a serious limitation. It meant that services could not be provided to the many children living outside these areas even if the homes were not filled by children living in the target areas.

While these limitations — the deemphasis of direct service for volunteers and funding policy restrictions on clientele — are serious, they do not, in the opinion of community leaders, outweigh the advantages of the establishment of an independent agency offering services that are not available elsewhere in the county. Furthermore, since the Action Board is committed and the program has the endorsement of county officials and youth service agencies, it will likely find ways to maintain itself, to expand, and to overcome these limitations.

SECTION IV

THE DELIVERY VEHICLE

Chapter 12 Organizational Structure

Chapter 13 Leadership and Decision Making

Chapter 14 Personnel Management

Case Study The Junior League of Cincinnati Structures An Autonomous Community Agency

Case Study The Junior League of Oakland-East Bay Co-sponsors A Conference on Juvenile Justice

Chapter 12

Organizational Structure

The most appropriate organizational structure for your criminal justice involvement will depend upon the type of activity you are pursuing and also upon the existing structure of your group. In this chapter we will first discuss such legal considerations as formal structure (unincorporated, partnership, or corporated), taxes, written agreements and contracts (along with the related issue of project sponsorship or ownership), and insurance. Next we will explore the role of boards and advisory committees and the question of who will make the decisions. Finally, we will examine several approaches to work distribution and coordination (the division of labor).

Consideration of these structural alternatives is essential, but the guiding principle when you first begin is to **keep it simple**. Organizations engrossed with maintaining themselves through the mechanics of rules and structure frustrate many people. Increasingly, people want to participate only in those organizations, programs, or projects that are action-oriented and that deemphasize structure, mechanics, and protocol. Yet, the right kind and amount of structure can facilitate and safeguard your activities through the development of standard operating procedures (SOP). Such procedures make it unnecessary to spend time deliberating how to organize and how to implement related tasks each time that they occur.

Legal Considerations

Federal, state, and local ordinances or laws may restrict some of your action plans. Before attempting to deal with legal problems, consult an attorney. Examples of situations that typically require the expertise of a lawyer include the following:¹

- incorporating or establishing some other legal entity for your group;
 - incorporating a program or activity as an on going, autonomous community agency with only limited ties to your group;
 - entering into written agreements, contracts, or leases with other groups or individuals who are to provide certain resources and services to you or who are to cosponsor your criminal justice activities;
 - making an agreement involving a large sum of money;
 - being served with an injunction or a court order or being told that you can't legally proceed with plans for an action;
 - being unable to understand an official document, a law, or something your group is being asked to sign, such as a waiver, insurance document, lease, or tax form;
 - being sued or wanting to sue; and
 - being charged with violating a law.
- There are numerous sources of legal help for voluntary programs in most communities. Contacts with lawyers should be made before you have a legal problem or need specific legal advice.
- It is wise to include an attorney on your board of directors or advisory board. If you do not plan to establish such boards, then you will want to develop individual contacts with one or more attorneys. Some of your group members may be lawyers; if not, they may have relatives who are lawyers and would be willing to provide assistance as needed.
- There may be community law firms, general counsels to government agencies, legal-aid societies, or public interest law firms in your area which provide free legal services to nonprofit groups. You might contact your local bar association, the state bar association or one of the following organizations for suggestions:
- American Civil Liberties Union (ACLU)
156 Fifth Ave.
New York, NY 10010
(ACLU has affiliates in every state and in many communities.)
 - National Juvenile Law Center
St. Louis University, School of Law
3642 Lindell Blvd.
St. Louis, MO 63108
(Provides research assistance to legal services programs across the U.S. and maintains files for each state on current and posed legislation and a collection of litigative material.)
 - National Lawyers Guild
One Hudson St.
New York, NY 10038
(Organization of lawyers and law students who work with public action groups.)
- If you can't obtain free legal services, you may

be able to get a reduced rate. If finances permit, it might be wise to keep a good local attorney on a retainer and pay his normal fees, as this is the best way to insure expert legal advice when you need it.

Formal Structure

If you are a member of a newly formed group established for the purpose of a specific criminal justice involvement, you and other members may be interested in formally organizing as a legal entity. Regardless of the current organizational status of your group, it may be advantageous to establish the project legally as an autonomous undertaking, rather than as one sponsored by your organization if:

- you do not want your criminal justice involvement to be too closely identified with your group;
- you are planning a joint undertaking with other groups; or
- you want to establish an ongoing program that will continue after termination of your group's involvement.

Some reasons for organizing either your group or your project as a legal entity are:²

- to establish a legal vehicle, possibly with tax-exempt status, for receiving money — grants and donations — from governmental agencies, foundations, businesses, and individuals;
- to assuage those members who prefer explicit and reliable rules for operating the organization or project (Formalizing internal procedures for decision making and leadership may increase the commitment of many members.);
- to provide an observable and tangible entity to the public and thereby facilitate establishing credibility in the eyes of the community; and
- to meet federal, state, or local regulations pertaining to proposed activities.

The three most common organizational entities are unincorporated associations, partnerships, and corporations. An attorney can help you to determine which form is most appropriate for your needs.

An **unincorporated association** is not actually a formal entity but rather a group of people who are bound together by a common goal or purpose. Such associations are not based on written agreements and are no more formally organized than the members desire. By law, such an organization is treated as if it doesn't exist. If you are organizing for a single, short-term undertaking requiring little funding, an

unincorporated association may be the appropriate entity.

A **partnership** is usually a written agreement between two or more persons for a joint undertaking, usually for profit. All members of a partnership are individually or personally and collectively liable for the entire undertaking and for each other's actions. It is unusual for voluntary projects to be organized as partnerships.

A **corporation** is the most common form of organization for both businesses and charitable or service groups. Guidelines for incorporating vary from state to state. Generally, to incorporate, your members must elect at least three directors who will have formal responsibility for running the organization. The board of directors selects officers and/or an executive subcommittee to whom day-to-day responsibility is often delegated. In small corporations, the same people can be the members, the directors, and the officers. The articles of incorporation and bylaws of a corporation typically include guidelines for the selection of members and officers, group decision-making procedures, meetings, membership criteria and dues (if any), and authority or control.

Taxes

If your organization is a partnership or incorporated, it is subject to the regulations of the U.S. Internal Revenue Service (IRS) and, in most instances, its state counterpart.

Tax advantages to incorporating as a non-profit corporation vary from state to state, but generally include exemption from sales, income, and/or property taxes. The extent of such exemptions are usually based on the corporation's federally assigned tax exempt status, which must be granted by the IRS upon application by the new, state chartered corporation. The two classifications assigned by the IRS that are most applicable to groups organizing for the purpose discussed in this book are the 501(c)(3) status and the 501(c)(4) status.

The **501(c)(3) status** enables those contributing funds to your program — whether individuals, foundations, or businesses — to take tax deductions for their donations. Clearly, a tax deduction can serve as a major incentive to potential benefactors. To qualify for 501(c)(3) status, a nonprofit organization must primarily operate for charitable, religious, educational, scientific, or literary purposes. Partisan activities, such as attempts to influence legislation cannot be a "substantial part" of its activities. Influencing legislation or lobbying refers to

attempts to push a particular viewpoint or issue, and not to nonpartisan analyses of issues or proposed legislation. The Tax Reform Act of 1976 has amended section 501(c)(3) of the Internal Revenue Code to allow public charities (other than churches, conventions and associations of churches, and certain support organizations) to elect to come under a new expenditure test for lobbying. This test establishes a sliding scale limitation for lobbying expenditures beginning with 20 percent of the first \$500,000 of the organization's exempt purposes spending in any one year; and it sets an overall lobbying expenditure ceiling of \$1,000,000 per year.

The **501(c)(4) status** provides that, in carrying out its social welfare objectives, an organization is allowed to lobby for specific legislation without any restrictions on time or expenditures devoted to such efforts. However, contributions to 501(c)(4) organizations are not tax deductible; accordingly, it is more difficult to obtain large donations.

The IRS office in your community and state tax officials can explain tax regulations and answer most of your questions on how to apply for tax-exempt status, what records to keep, and how to handle payroll taxes if you have salaried employees. Although there are few experts in the field of taxation of nonprofit organizations, an accountant or attorney should be consulted when considering tax-related matters. The resource chapter includes a listing of management support organizations that help nonprofit organizations.

Written Agreements and Contracts

Many situations call for a written agreement, memorandum of understanding, or contract with another individual or organization. Any time you make arrangements for another organization to co-sponsor your involvement, to provide services or funds for the undertaking, or to support and cooperate with you in some significant way, it is a good idea to get the agreement in writing. Even when you have good informal relationships with the other parties and feel that you can trust them to do what they promise, a written agreement is good insurance against possible future misunderstandings that might result from changes in the leadership or direction of participating parties, and the human fallibility of misunderstanding or forgetting the details of an oral agreement. Contracts are also useful as references, proof of cooperation (as in accompanying a grant application), and documentation in case of discrepancies.

The following are examples of relationships that typically should be formalized by written agreements:

1. Co-sponsoring an activity or project with one or more other voluntary groups, businesses, or agencies. Here it is essential to formalize the responsibilities, contributions, and decision-making authority of each participating group.
2. Sponsoring an activity or project that provides some type of service to a criminal justice agency or institution. For example, as part of its criminal justice involvement, the Junior League of Oklahoma developed a program to provide educational, counseling, vocational, and recreational classes to residents of the Women's Treatment Facility (WTF). The League, the WTF supervisor, and the director of the Oklahoma State Department of Corrections entered into an agreement that clearly specified how the program would be coordinated and what the respective responsibilities and authorities of each party were.
3. Establishing an autonomous, incorporated community program that will be supported by your group. Here your group might enter into an agreement with the board of directors of the autonomous program to delineate your group's role in the program for a specified time period. For example, the Junior League of St. Petersburg established VITAC, Inc. (Volunteers in Training Against Crime), an autonomous community center to recruit, train, and place volunteers in criminal justice programs and agencies. The League then contracted to provide volunteers, funds, and other services to VITAC for a determinate time period, during which the League would have certain leadership roles on the VITAC board of directors.
4. Purchasing the services of individuals or groups to assist in the planning or implementation of your criminal justice involvement. If you are purchasing the services, professional or otherwise, of others, it is a good idea to put in writing the exact nature of those services, the schedule by which they are to be rendered, and the amount and schedule for payments.

Anytime you agree to co-sponsor an undertaking with another group, be sure to clarify the question of project "ownership" from the very start. An attorney can help you to determine how to safeguard your group and your program

in written agreements. Typically a contract specifies:

- the responsible officials for each cooperating group,
- the roles and responsibilities of each group,
- an outline of how to coordinate the undertaking,
- the amount and timing of payment or reimbursement for funds if applicable,
- the time period covered by the agreement and the time schedule for major activities, and
- procedures for changing the agreement.

Insurance

You are liable for accidents that might occur at any activity you sponsor, particularly ones to which the public is invited or one involving vehicles. When you operate a facility or office and when you rent space for a special event, be sure to determine the extent of your liability in case of accidents.

In addition to liability insurance for personal injury claims, you may want to insure any facilities, furniture, and equipment against accident, theft, and fire. If you have salaried employees, you will also have to have workmen's compensation insurance. Project volunteers may also be insured against accidents or injuries sustained on the job.

Before purchasing insurance, discuss the amounts and types of coverage and premium costs with several insurance agencies. An attorney can advise you as to what insurance coverage is essential and what is desirable but not mandatory.

Boards and Advisory Committees

There are several types of boards and many possible functions for each type. Besides their role in the administrative or organizational structure of your organization, boards are a most effective mechanism for involving the community in your work. If your group decides to incorporate, you will be required to have a board of directors elected by your voting membership.

Voting membership can be defined any way you like. It might include only the members of the board, your working corps of volunteers, or a large group of people who meet annually to review the status of the organization and to elect new members to the board. There are definite advantages in including a large cross-section of community representatives in the voting membership status. Since the responsibilities of

voting members are nominal, you may be able to recruit noteworthy members who are too busy to serve in an active capacity. A representative and influential voting membership can increase public awareness of your activities and serve as an asset in fund raising since some of the members may come from those organizations that you petition for funds.

Board of Directors

This board must be elected by your voting membership if incorporated. The guidelines discussed in the following paragraphs are general ones; specifics for incorporation and boards of directors are determined on the state level. If you are not incorporated but want a board of directors, your members may either select or elect directors for the organization. The board of directors is legally considered to be a governing board. It has legal authority and responsibility for the operation of your program, including:

- selection of officials and hiring of staff (which may be pro forma or delegated in large organizations);
- preserving and investing assets;
- reviewing and approving budgets; and
- determining principal objectives and policies.

Such a board's informal responsibilities typically include raising funds, defending the program, and enlisting the support of other groups.

You may appoint an interim board of three directors for the purpose of incorporation and then elect a permanent board after your membership has been determined. The number of people included on the board can range from three to as many as you like or can get to serve. The advantage of a large board is that it can include a broad cross-section of community representatives. However, it is generally best to use the board of directors as the working board of the organization and include no more than seven to seventeen members. The principal burden for tying your program into the rest of the community can then be met by the voting membership and/or an advisory board. Typically your directors will come from your voting membership, and it may be wise to elect people from within who have demonstrated their interest in the program and proven their abilities with earlier assignments.

An **executive committee** is a committee of the board of directors appointed to make decisions between board meetings. An executive committee may also be used as the agenda-planning group for the board. In that capacity, it saves board time by planning for decision

making, e.g., classifying what decisions the board must make, gathering necessary background materials, and making suggestions on ways to approach the decisions. If the role of the executive committee is to be substantial, then it should be large enough to be truly representative of the board. Otherwise, one or two people will be running the organization. Remember, participation in decision making is the key to building support.

Advisory Board or Committee

This board or committee is a formally designated group of people on whom you can call for assistance and advice without necessarily involving them in your regular meetings or board of directors structure. Advisory groups may be established for your overall program and/or for specific tasks or functions, e.g., fund raising, planning, and public relations. Depending on the members that you select, advisory committees may be used for the following purposes:³

- to involve persons who do not have time to attend your regular meetings or to participate continuously in the project;
- to develop potential contributors of expertise, services, and funds (and possibly provide these themselves);
- to develop community support or neutralize opposition through the prestige and influence of committee members;
- to provide endorsements from well-known and respected people;
- to involve talented people not eligible for membership in your organization;
- to serve as a sounding board for community opinion and help you to frame your activities to maximize community support;
- to get experts to help you on specific problems without pay;
- to help you to avoid tactical or other mistakes due to inexperience;
- to keep you informed on what other groups have done or are doing; and
- to tie you into the organizations and groups that they represent (including clients, businesses, government agencies, and other volunteer programs).

The size of the advisory group can be quite large with only subgroups assigned specific responsibilities getting together at any one time.

Of course, just appointing an advisory group — as with the other types of boards — does not insure that they can or will perform the tasks that you desire of them. Whom to include and

how to structure their involvement are critical variables.

Whom to Include

You should include a good cross-section of the community on any type board and particularly on an advisory board. General categories for board membership would be constituents, people with clout, and people with needed skills. Representatives might include:

- someone from the press or local media establishments; (This helps assure good external communication as these people know what makes a good story and how to get it across.);
- someone with legal expertise;
- people from local funding sources, e.g., foundations and business organizations that contribute funds to community service projects;
- someone tied to state or national funding sources;
- an accountant;
- members of the local criminal justice establishment, e.g., chief of police, judge, correctional workers;
- someone who has been through the criminal justice system (an ex-offender);
- members of minority groups;
- community leaders from your local power structures;
- elected officials from the city, county, state, and national levels;
- people from public agencies whose work relates to criminal justice (schools, welfare departments, health system, etc.);
- spouses of influential persons unable to serve — congressperson, senator, etc.;
- leaders in local colleges and universities;
- potential clients;
- representatives from compatible volunteer groups and associations;
- someone from the various neighborhoods or geographic areas served by your program;
- someone from the council of churches or some other religious organization;
- someone representing your field workers or volunteer corps; and
- someone with methodological skills who can assist in evaluating your activities.

If you can secure and coordinate the assistance of someone from all these diverse groups, you may have a future in the State Department.

Before recruiting members, determine specifically what functions you want them to serve. Look at the strengths and weaknesses of your

group and then think in terms of what types of people can best compensate for your internal weaknesses. Don't select members just because of their prestige, but on the basis of whether or not they will contribute to your program.

Be sure to establish procedures for expanding or changing the board as it becomes necessary. This way you don't limit yourself to those people selected during the early stages of your involvement.

How to Recruit

After you have identified the types of members you want, prepare a list of potential members. For initial ideas you may identify board members from similar organizations. Review initial lists with members and friends for their ideas on those listed and suggestions of others to consider.

Consult with prospective members individually to ascertain their interest before asking them to serve. Explain your program and ask for their suggestions. A brief write-up of your proposed program can be of assistance to you and other "investigators." Screen out those whom you feel would block your efforts to bring about change. Also avoid selecting persons who are known to be controversial or are so identified with a particular cause that they will be biased or will alienate the community — unless, of course, you think you need someone with that point of view or believe that to put them on the board is the best way to get their cooperation.

After you have made an assessment of potential members, invite those whom you want to serve on the board. When appropriate, ask a friend or ally acquainted with the person to issue the invitation. Otherwise, personally invite them and follow up with a letter. Be sure to explain to proposed members what you expect of them — length of term, the role you want them to play, and expected time commitment. They will also want to know who else will be serving on the board. If you align the super-influentials first, there will be less trouble getting participation from the semi-influentials.

It is best not to recruit board members until you have a good idea of what you are doing since until then you won't know what you want the board to do and who can best do it.

Utilizing the Board

To increase their commitment and effectiveness, you must help the board members to feel part of your organization and program. First, orient them thoroughly to what you have done so far and what you hope to do in the future. For

boards of directors, an orientation and training program may be desirable. You might also invite board members to attend training programs planned for direct-service volunteers.

With large advisory boards, call very few meetings of the full board so as not to waste the time of busy members. Instead of full meetings, call on members individually or in small groups for advice and assistance.

When you have board meetings, prepare for them by:

- setting the meeting date far in advance and then reminding the members of the meeting several days ahead of time;
- preparing and distributing an agenda for the meeting;
- submitting concise background material before the meeting.

During meetings, follow an orderly process (*Robert's Rules of Order*, if needed). Detailed minutes of all decisions made or postponed should be taken and distributed to members as soon after the meeting as possible for their review and approval.

Between meetings and individual contacts, keep the members informed of your activities through mailings and progress reports. In particular, provide feedback on how you have implemented decisions that they have made or advice that they have rendered.

Treat them like VIP's but work them like horses. Unless members have agreed to join the board for the sole purpose of lending their good names, make specific committee or individual task assignments to each one.

For further readings on boards and holding meetings see Helpful Information Sources.

The Decision Makers

Although decisions must be made at every stage of planning and implementing your criminal justice involvement, most of us are conscious only of making major decisions, such as selecting a specific project or activity. Yet, the process for deciding as well as the decision outcome for many decisions has important implications for the success of your involvement and the satisfaction of your members and volunteers with their involvement in the project or activity.

In determining the structure of your criminal justice involvement, the decision as to who will participate in future decision making is most important. Although final authority for deciding between alternatives should be lodged with those who will be held responsible for the

decisions made, participation in reviewing alternatives and making recommendations can be extended to numerous parties with a stake or interest in the decision. Whom to include in decision making typically will vary with the decision to be made — whether it is a major policy decision, a procedural decision that determines how the group will work, or an administrative, day-to-day implementing decision.

Since boards of directors and officers are held accountable for project activities, they are involved in all major policy decisions. With or without a board of directors, a steering committee might be appointed to advise on or make major decisions.

Most decisions are meaningless unless they can be, and are, implemented. Consequently, those persons and groups who must implement a particular decision should be included in making the decision. Otherwise, they might not understand what is expected of them or will not support the decisions.

One of the most frequently attributed causes of organizational failure is not delegating responsibility for making decisions sufficiently far down into the organization. Moreover, for the policy makers and group leaders to make detailed implementing decisions is a waste of their time. The importance of and techniques for placing some decisions in the hands of the people who are doing the work is further discussed in Chapter 13.

Dividing the Work (Division of Labor)

Work must be distributed among your members; the efforts of different members must be coordinated; and lines of authority and responsibility must be clearly formulated. Although these are bureaucratic concepts, all but the smallest of groups with very limited objectives find it necessary to structure roles and responsibilities. The art of organizing is preventing structural necessities from forcing your group into the rigid, unresponsive posture of large bureaucracies.

Organizational Structures

Three approaches to organizing are presented in the following pages. The first groups work on the basis of like function; the second, on the basis of the work flow required to complete an objective; and the third on the basis of both like function and work flow.

The Traditional Structure

The traditional steps for organizing work are as follows:⁴

First, examine your objectives and action plan to determine the activities needed to implement major steps and strategies. Such activities could include recruiting, interviewing, training, counseling, research, budgeting, accounting, and communication.

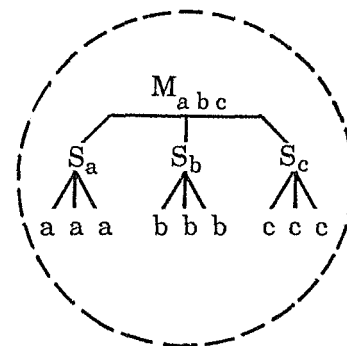
Second, group (departmentalize) similar activities. For example, budgeting and accounting might be combined into a finance committee or office; recruiting, interviewing, and training might be combined into a personnel committee or office.

Third, assign a person to be responsible for each group (department) of activities.

Next, determine the staffing requirements for each group of activities. How many people are needed to complete the tasks involved in each activity group?

Then, establish procedures to coordinate the activity groups, e.g., weekly meetings of group representatives, joint memberships in group.

Typically in the traditional organizational structure, overall authority and responsibility for the work performed by the different groups is lodged with one person who assigns work to the groups and coordinates their individual efforts. This structure can be diagrammed as follows:



Where

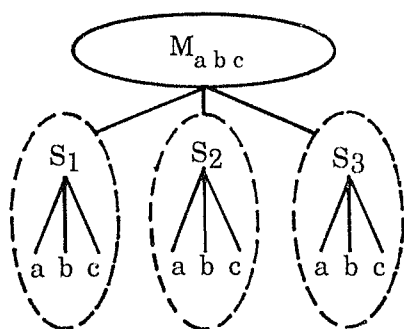
1. a, b, and c represent a work flow for completing some step, product, or objective.
2. Departmentalization is based on like function or activity, and the a's are workers assigned to one type of activity, and so on.
3. Authority is based on hierarchical position and is centralized. S_a is the supervisor for the "a" activity, office, or committee, and so on. M_{abc} is the overall manager.
4. The dotted circle represents a large managerial unit where only M_{abc} has the knowledge and responsibility required for all the functions.

As the traditional structure grows, workers soon lose sight of the overall objectives or goals of the organization and of how their work relates to these ends. They become specialists. Since each group or department is responsible for a different activity, it must be evaluated differently. If the groups compete, it is not in terms of work output, but rather in securing scarce resources for their individual units. Empires are built. The leader may be reluctant to introduce change or a new objective since the whole apple cart may be upset, requiring a change within each group.

To increase coordination and participative decision making, you might have a group M_{abc} rather than an individual one. The group M_{abc} could consist of representatives from each of the functional departments. It is difficult, however, to delegate very much decision-making authority to the individual workers since they may not see the relationships of their work to that of others. Joint meetings between members of the different departments may help, but they also consume a valuable resource: time.

The Work-Flow Structure

An alternative design for coordinating work or determining formal work roles and relationships is the work-flow structure. This structural model may be diagrammed as follows:



Where

1. Again a, b, and c represent the work flow needed to complete a major step or objective, but here departmentalization is based on the work flow itself with related activities necessary for product completion grouped together.
2. The managerial unit is small in that control can be delegated beyond M_{abc} to the supervisors since they also have information and responsibility for an entire work flow or end product.
3. Authority can be multidimensional. In addition to being based on rank, it may be based on expertise and occurs up, down, and across the organization.
4. Since each department or group is responsible for a finished product, competition between them is more likely to be based on output than on increasing their input of scarce resources.

With the work-flow structure, new ideas and changes can be more easily implemented since, to begin with, they can be introduced by changing only one work-flow department or by establishing a new work-flow department. Thus, changes do not necessarily affect the entire organization since other departments or groups can operate as before with their previously determined procedures and policies.

Overall, flexibility, adaptability, and innovation are supported by this work structure, since the role of the individual worker is greatly enhanced. The workers can see how their activities interrelate with those of others and how work assignments relate to goal achievement. The workers, themselves, are frequently in the best position to suggest improvements for the work plan. Under this structure, changes can be made by the supervisors or the workers as well as by the overall manager.

A Hybrid Approach

More often than not, a complete reliance on either of the two structures just discussed is illogical. Some activities, e.g., fund raising, may best be handled in a centralized fashion, whereas other activities should be grouped together in a work flow. Remember, voluntary organizations must depend on the intrinsic rewards of their work, so your structure must take into account the needs of your members. If you are developing a large organization or an ongoing one, it will be wise to discuss your plans with a management consultant prior to determining your work structure.

Regardless of how you structure your work, there are some general points to cover:

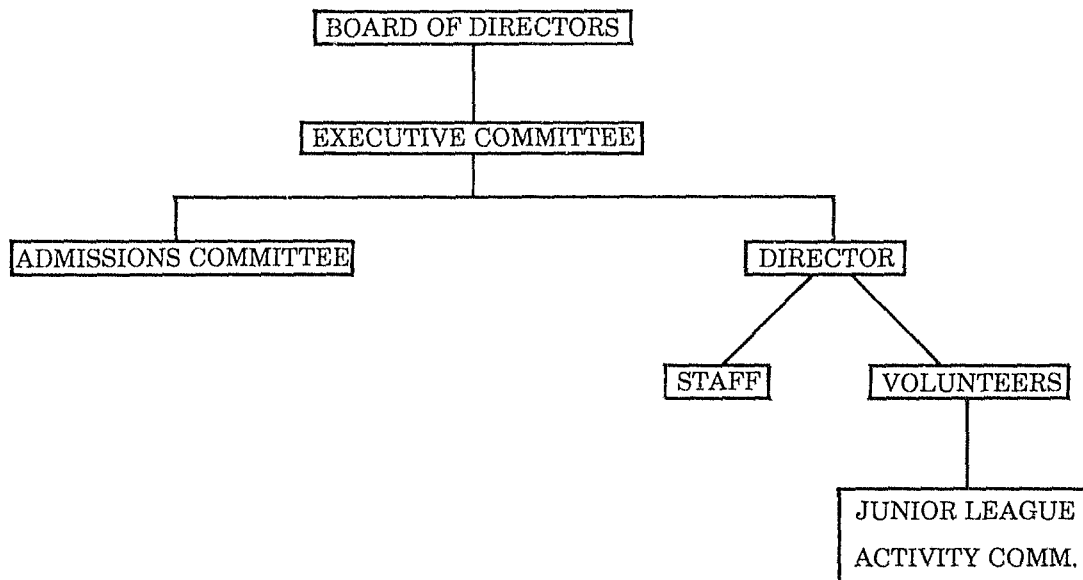
1. Each member, employee, or worker, whether volunteer or salaried, will need a clear delineation of his role and how it relates to other members of the organization.
2. Lines and boundaries of authority should be clearly formulated. When delegating authority, be precise on how much authority is being delegated.
3. Avoid situations where workers receive direction from several supervisors.
4. Keep the administrative structure simple. Question any work structure which has more administrative or supervisory workers than direct service workers.

Organizational Charts

Preparing an organizational chart is a good way to visualize your proposed structure. This permits you to explore alternative structures before you actually begin, and gives you an opportunity to detect illogical authority patterns. Such charts can serve as an effective

device to explain your operational structure to new members, possible funders, and others.

The Junior League of Spartanburg, South Carolina, initiated a group home to divert predelinquent or displaced girls from the juvenile justice system. The organizational structure for this project is as follows:



The *board of directors* is an administrative and policy-forming body composed of interested citizens and Junior League members. The board is responsible for general management of the home.

The *executive committee* includes the chairman, vice-chairman, secretary, and treasurer of the board of directors. The executive committee is composed of Junior League members appointed by the board of directors from a slate furnished by the Junior League.

The *professional staff* includes a director and three counselors. The *director* coordinates and implements the program for the counseling and treatment of each girl, in cooperation with agencies such as the Department of Social Services, Youth Service Bureau, Family Court, and the Mental Health Clinic. He also supervises other employees and the Junior League activity committee. The *counselors* were responsible to the director.

The *admissions committee* is made up of representatives from the Department of Social Services, Youth Services Bureau, Family Court, and the Mental Health Clinic. It is responsible for determining if an applicant is eligible for admission to the home.

The *Junior League activity committee*

establishes and implements the recreational and cultural program of the home. It also coordinates community participation in the program. The committee is responsible to the executive committee, but coordinates all programs with the director.

As noted in the Spartanburg League example, committees, subcommittees, and task forces are frequently used to distribute work in voluntary organizations.

Committees and Task Forces

Committees or subcommittees of workers, board members, and possibly community supporters may be established to perform a variety of tasks. Initially during your need-assessment stage, separate subcommittees might study the different criminal justice areas: police, courts, corrections, etc. Later a committee composed of members from each of these subcommittees, along with others, could focus on project alternatives. As you move along, ongoing administrative committees may be appointed to deal with such matters as public relations, fund raising, and evaluation. Operational functions such as recruiting or interviewing can be assigned to special committees. Then, if your

criminal justice involvement is diverse and includes several discrete objectives or programs, committees can be appointed to oversee and/or implement each of these.

Extensive use of committees can significantly expand the opportunities for involvement and leadership roles among your members as well as nonmembers who might join you for specific committee assignments but not in an ongoing capacity. Yet committees can be overused, particularly if you repeatedly avoid controversial or delicate issues and conflict by appointing another committee to do further study.

Based on a variety of leadership experiences in voluntary associations, Brian O'Connell recommends that the principles of least number and "ad-hocracy" be used in establishing committees.⁵ This recommendation is, in part, based upon the belief that, whenever possible, the entire organization or board should be involved in making decisions. On the other hand, others believe that an extensive committee structure allows the greatest number of people to be involved in decision making.

For specific assignments, ad hoc committees or task forces seem more desirable than standing committees. Unlike committees, task forces are organized to perform very specific tasks and are usually disbanded after those tasks are completed. Since they have short life spans, task forces provide more opportunities for involvement and leadership than do ongoing committees.

Task forces can be established to consider a serious problem, to evaluate your overall program, etc. Frequently, regular committees appoint ad hoc subcommittees or task forces to study special issues and to make recommendations to some larger body, such as the board or the entire membership.

Committee leadership should be dispersed among several members — possible co-chairpersons — since with voluntary programs there is more likelihood that key people will fall aside. By having chair and vice chairpersons, the transition during leadership changes can be effected more smoothly. Limit the size of committees to insure that each member has a specific responsibility and can be actively involved in committee deliberations. It is probably better to overwork committee members than to have so many

members that there is insufficient opportunity for participation.

Although the size of committees and task forces should be limited, sometimes one or two persons can do the job, often these groups should be representative of your overall organization. If a committee is to tackle an important and/or touchy issue, the various factions and interests within the organization should be represented.

A job description may be prepared for each committee or task force established. This description could include an outline of:

- relationships and accountability of the committee to the organizational leaders;
- scope of committee activity (extent or limitation of responsibility);
- composition in terms of size, important skills or knowledge, and representativeness; and
- anticipated activities and recommended procedures.

After an initial meeting or two to orient committee members to their work and to allow them the opportunity to get acquainted, meetings should be held only when necessary. As Stanley Levin warns,

The establishment of committees and task forces without clear functions, and the convening of meetings on a regular basis regardless of the lack of important business, can produce a systematic condition that can be referred to as "voluntary bureaucracy".⁶

However you choose to organize work, (work-flow or like-function), coordination between the divisions that you do establish is essential. The Chamber of Commerce of the U.S. in its *Marshaling Citizen Power Against Crime* aptly expressed this need: "The various subcommittees should avoid the trap into which the criminal justice system itself has fallen — that is, a failure to keep one another informed about interrelated matters of mutual concern."⁷ Whenever possible, develop opportunities for all members to meet, review, and learn from each other. Exchange reports, minutes, and findings between the work divisions, and when outside speakers make a presentation to one subcommittee, invite other members.

Helpful Information Sources

Boards

Brown, David S. "Advice on Advisory Committees." *Better Boards and Committees*. Washington, D.C.: Adult Education Association of the U.S., 810 18th Street, N.W., Washington, D.C. 20006, 1957. \$1.00.

Hauson, Pauline L. and Marmaduke, Carolyn T. *The Board Member: Decision-Maker for the Non-Profit Organization*. Boulder, Colorado: National Information Center on Volunteerism, Box 4179, Boulder, Colorado 80302. \$2.75.

NICOV has developed an evaluation checklist for board members on the basis of this book which includes key points to include for effective board operations.

Meetings

Baird, John E. *A Guide to Conducting Meetings*. Nashville: United Methodist Publishing House, 201 8th Avenue South, Nashville, Tennessee 37202. \$1.95 plus postage and handling.

Thomas, Mrs. Harry Harvey. "Simplified Parliamentary Procedure." Available from the League of Women Voters, 1730 M. Street, N.W., Washington, D.C. 20036. 15¢.

NOTES

1. Adapted in part from: American Association of University Women, *Tool Catalog: Techniques and Strategies for Successful Action Programs* (Washington, D.C.: American Association of University Women, 1976), Ch. 54.

2. Adapted in part from: Susan A. Davis, *Community Resource Centers: The Notebook* (Washington, D.C.: The National Self-Help Resource Center, Inc., 1976).

3. American Association of University Women, *The Tool Catalog*, Chapter 59.

4. Arthur D. Little, Inc., *Common Sense about Project Management* (Washington, D.C.: Law Enforcement Assistance Administration, Draft Copy, 1976).

5. Brian O'Connell, *Effective Leadership in Voluntary Organizations* (New York: Association Press, 1976).

6. Stanley Levin, "How to Administer a Volunteer Program," *Volunteers in Rehabilitation* (Washington, D.C.: Goodwill Industries of America, 1973), p. 23.

7. Chamber of Commerce of the U.S., *Marshaling Citizen Power Against Crime* (Washington, D.C.: Chamber of Commerce of the U.S., 1970), p. 79.

Chapter 13

Leadership and Decision Making

Throughout the "how-to" part of this book, we discuss the tools of effective management: planning, organizing, structuring, staffing, and evaluating. Management obtains results through a systematic process of securing and utilizing the basic resources of money, time, people, materials, and authority. A developing management science now includes rules and guidelines on how to manipulate resources efficiently — or how to get the most from the least. Some people consider leadership as the management function of getting the most and best work possible from workers; others consider management as one leadership role or function; still others consider management and leadership as two distinct types of activities that at times may conflict with each other. Regardless, the terms management and leadership should not bring to mind "a rose (or onion) by any other name is a rose just the same." They are not one and the same.

Leadership gives preference to people. It recognizes that people are not just another resource to utilize in the pursuit of program goals. Workers, whether salaried or volunteer, are human beings who have needs, aspirations, motivations, and idiosyncracies. Unlike the resources of time, money, and materials they must be motivated to work. Otherwise, they may resist, either subtly or directly, doing what needs to be done, or they may do it poorly. Leadership is the art of the interpersonal relations, of providing emotional or psychological nourishment to people so that they will want to work.

The Leadership Dilemma

People must be led. People perform best under leaders who are creative, imaginative, and aggressive — under leaders who lead. It is the responsibility of the leader to marshal the forces of the organization, to stimulate effort, to capture the imagination, to inspire people, to coordinate efforts, and to serve as a model of sustained effort.

The leader should keep an appropriate social distance, show no favorites, control his emotions, command respect, and be objective and fair. He must know what he is

doing and where he wants to go. He must set clear goals for himself and for the group or institution, and then communicate these goals well to all members of the organization. He must listen for advice and counsel before making decisions. But it is his responsibility to make decisions and to set up mechanisms for seeing that the decisions are implemented. After weighing the facts and seeking expert counsel, he must make policy and rules, set reasonable boundaries, and see that these are administered with justice and wisdom, even compassion.

The leader should reward good performance and learn effective ways of showing appreciation. He must be equally ready to give negative criticism where warranted and to appraise performance frequently, fairly, and unequivocally. He must command strong discipline, not only because people respect a strong leader, but because strength and firmness communicate care and concern. Good leadership requires good fellowship. People tend to follow good leaders. Leaders are born. Methods of election and selection are thus very important. Finding the right chairman or president is the critical variable in the success of a program or an institution. The quality of an organization is often judged by the perceived quality of the leadership.¹

The above embodies the utopian ideals of one view of leadership. A similarly idealistic statement of an alternative approach to leadership follows:

People grow, produce, and learn best when they set their own goals, choose activities that they see as related to these goals, and have a wide range of freedom of choice in all parts of their lives. Under most conditions persons are highly motivated, like to take responsibilities, can be trusted to put out a great deal of effort toward organizational goals, are creative and imaginative, and tend to want to cooperate with others.

Leadership is only one of several significant variables in the life of the group or the institution. Leaders can be helpful and

often are. The most effective leader is one who acts as a catalyst, a consultant, and a resource to the group. His job is to help the group to grow, to emerge, and to become more free. He serves the group best when he is a whole person, is direct, real, open, spontaneous, permissive, emotional, and highly personal. The leader at his best is an effective member. He acts in such a way as to facilitate group strength, individual responsibility, diversity, nonconformity, and aggressiveness. The leader is thus not necessary to the group and quickly becomes replaceable, dispensable, and independent. The good leader tends not to lead. He permits, feels, acts, relates, fights, talks — acts human as do other members of the group and the institution. The leader is present, available, and with the group as a person, not as a role.²

These two statements represent the leadership dilemma of whether to be strong, paternalistic, directive, autocratic, and authoritarian, or democratic, permissive, participatory, and to lead by consensus. Earlier in the century, there was no such dilemma. Leaders led, workers followed, and everyone knew that there were inherent differences between leaders and followers. Then social science research, pioneered by Kurt Lewin, began to support the view that the human relations approach to leadership, with its concomitant of participative decision making, increased employee morale, which in turn increased productivity. People jumped on the bandwagon, establishing training laboratories in group dynamics across the country. Those who resisted democratic leadership were considered remnants of a bygone era: the scientific management movement of Frederic Taylor. More recently research has shown that not only do participative decision making and concern with group dynamics sometimes fail to lead to increased employee morale and motivation, but that high morale doesn't necessarily lead to high productivity.

Thus comes the dilemma. Frequently sensitive leaders find themselves torn between exerting autocratic and democratic leadership. They may want to encourage group participation in making a decision so as to increase commitment and motivation; at the same time, however, their greater knowledge of the problem situation and time constraints push them toward making the decision. Leaders may wonder if a group decision is appropriate or if it is merely an escape from their own decision-making responsibilities.

So far, we have referred to decision making in terms of two extremes: complete autocracy and complete democracy. There are numerous gradations of each, and these gradations may provide the leader a basis for grappling with this pervasive dilemma.

Patterns of Decision Making³

The list of leadership styles presented in this section forms a continuum based on the degree of authority used by the leader and the amount of freedom available to group members in making decisions.

The leader makes the decision and announces it to group members. Here the leader identifies the problem, considers alternatives, chooses one of them, and reports this decision to the group for implementation. The leader may or may not consider what the group will think about the decision. No opportunity is provided to group members to participate in the decision-making process.

The leader makes the decision and then tries to convince the group to accept it. In this case, the leader recognizes the possibility of resistance from those who must implement the decision. Attempts are made to reduce this resistance by enthusiastically explaining the benefits that can be realized from the decision.

The leader presents the decision and invites questions from the group. This pattern is directed toward increasing group understanding and acceptance of the decision. The leader listens to the group and, in response to questions, explains his thinking and intentions.

The leader presents a tentative decision subject to change. Here the leader explains the situation and presents a proposed solution to the group before finalizing the decision. Group members are encouraged to ask questions, express candid reactions — including criticism — and suggest alternative solutions. The leader reserves the right to make the final decision.

The leader presents the problem, gets suggestions, and then makes the decision. Before seriously considering particular solutions to the problem, the leader goes to the group and asks members for ideas. In effect, the group is asked to increase the leader's repertoire of possible solutions to the problem. The leader still selects the solutions which appear to be the most promising.

The leader defines the limits and then shares making the decision with the group. The leader defines the problem to be resolved and the boundaries (time, money, etc.) within which the decision must be made. After promising to accept the group's decision, the leader becomes a member of the group and participates with everyone else in the deliberations.

The leader defines the limits and then delegates the decision to the group. The leader explains broad boundaries but may or may not define the problem before instructing the group to formulate a decision it will implement.

As illustrated in the continuum of leadership patterns, the leader does not have to be totally autocratic or totally democratic in making decisions. Moreover, the procedures by which decisions are made can vary as circumstances dictate. Generally, decisions in voluntary programs should be based on one of the more democratically structured leadership styles. Although there can never be absolute authority in voluntary endeavors, there may be occasions where autocratic decisions are in the best interest of the volunteers and the program. Thus, an effective voluntary leader must on occasion risk rejection and annoying the group by doing what is necessary. One doesn't delegate decisions in order to maintain popularity within the group, but because doing so seems to be in the best interest of the group and the program.

Deciding How to Lead⁴

If different patterns of leadership and decision making are appropriate under different circumstances, how does one decide how to lead in any given situation? There are three types of forces or factors which the leader should recognize and consider:

1. forces in the leader,
2. forces in participating volunteers, and
3. forces in the situation.

The strength of each of these will vary from instance to instance, but the leader who is sensitive to them can more objectively determine which style of leadership is most appropriate in each particular instance.

Forces in the Leader

A leader is no less human than other group members. The leadership style he perceives as most appropriate for any given situation will be

determined in part by his background, knowledge, and experience. If the leader's predominant orientation doesn't correspond to the group's expectations then perhaps he should not be the leader. Several important internal forces affecting the leader are:

Value system. Leadership orientation is influenced by how strongly the leader feels that individuals should share in decisions affecting them and by the relative importance he attaches to organizational efficiency, personal growth of group members, and program productivity.

Confidence in participating volunteers. Some people tend to be trusting and others mistrusting. The leader is likely to assess the competence and knowledge of participating volunteers with respect to the target problem. He may then determine who he feels is best qualified to make the decision and decide that he has more confidence in his own abilities than those of the group.

Leadership inclinations. For some leaders resolving problems and issuing directives come easily. Other leaders are more comfortable sharing the burden with others and operating in a team role.

Sense of security in uncertain situations. Releasing control over the decision-making process reduces the predictability of the outcome. Many people have a low tolerance for ambiguity and strive for predictability and stability.

Forces in Participating Volunteers

Each group participant, like the leader, is influenced by many personality variables. In addition each member will have expectations about how the leader should act. The better the leader understands the forces affecting group members, the better he can determine what leadership style will enable members to perform more effectively.

The following are factors to consider in determining how extensively to involve group members in decision making:

1. Do they have a high need for independence or dependence?
2. Are they ready to assume decision making responsibilities? Some see such responsibility as a tribute to their ability, while others consider it buck-passing and do not want to be burdened with considering alternatives.
3. Do they have a high tolerance for ambiguity and prefer a high degree of freedom, or do they prefer order and clear-cut directives?

4. Are they interested in the problem and aware of its importance, or are they concerned only with their specific work assignments?
5. Do they understand and identify with the goals of the organization, or are they working to fill their time or to please a friend?
6. Do they have the necessary knowledge and experience to deal with the problem?

Several of these forces relate to whether the members have learned to expect to share in decision making or to be told what to do. Traditionally, child-rearing practices have been authoritarian, and many people never outgrow depending on others for direction. People who expect strong leadership may be upset if they are confronted with the request to share equally in decision making. Other people who have enjoyed considerable freedom and autonomy will resent the leader who makes most of the decisions. If group members learn to trust and respect the leader, he will be freer to vary leadership style as circumstances dictate.

Forces in the Situation

Characteristics of the situation should also influence the leader's style. Type of organization and group effectiveness are two general situational forces, while the problem itself and the pressure of time are two forces specific to each decision situation.

Type of organization. Established organizations have certain values, traditions, and expectations of their leaders. These are communicated directly through job descriptions and policy pronouncements and indirectly through the examples set by others. In addition, as was discussed in Chapter 12 on organizational structure, the amount of member participation is influenced by such factors as how work is structured (traditional — work flow), since this determines whether members will understand and have information on all relevant aspects of the program or just on their particular tasks.

Group effectiveness. How effectively members work together as a group is an important consideration. A group of people with similar backgrounds and interests typically work more quickly and easily together than a group with dissimilar backgrounds because there are likely to be fewer communication problems. Such factors as cohesiveness, mutual acceptance, and commonality of purpose should be examined.

The problem itself. The problem itself, perhaps more than any other force, is a vital

factor in determining how to make a decision. Some problems can best be resolved through obtaining input from many people. With some problems or decision issues, the enthusiastic acceptance of the decision outcome by group members may be as important as the decision outcome or solution itself. On the other hand, some technical or complex problems are best resolved by one or two people with the necessary backgrounds (specialists). It can be a real disservice to assign a group a problem it is not equipped to handle. The key question is, Have I consulted with everyone who has the necessary knowledge to make a contribution to the solution of this problem?

The pressure of time. This is the most clearly felt force for most leaders. The more the leader feels that an immediate decision is needed, the less he will involve the group. On some occasions, great opportunities are foregone because leaders are mandated to operate by group consensus. Other times, leaders imagine more time pressure than is really present in the situation. The crucial question is, what will happen if the decision is postponed?

By being aware of the forces discussed in preceding paragraphs, serious leaders can become more effective by exercising control over those forces that restrain flexibility in how decisions are made — particularly those forces within their own personalities which push them into rigid patterns. Leaders can learn to direct when necessary, delegate as appropriate, but mostly to share. A leader's authority comes from the people he leads. Increasingly, volunteers are demanding to participate in the decisions affecting the nature of their work.

How Groups Make Decisions⁵

Since the effectiveness of group participation is largely determined by how the group makes decisions, this section examines five group decision-making methods. The method may be just as important as the decision outcome itself. As before, there is no one right method for group decision making; rather, the procedure should be determined in accordance with the time available to make the decision, the importance of the decision, and the past history of the group's working relationships.

Decision by lack of response ("Plop"). This is a common, although not very visible, group decision-making method. During this decision-making process someone suggests an idea or solution, and before anyone has said anything about it, someone else makes another

suggestion, and so on, until the group hits upon an idea it will act upon. Although not articulated, decisions were made not to support each of the bypassed ideas. The situation makes the proposers feel that their suggestions were "plopped."

Decision by minority. In this case, two or more members railroad a decision by presenting their desired alternatives, asking if anyone objects, and then quickly going on to the next item of business. Sometimes a majority of members oppose an idea, but each one hesitates to say so because he thinks that all the other members are for the idea.

Decision by majority rule: voting and/or polling. The disadvantage of majority-rule decision making is that the minority opposing the decision may feel that insufficient discussion was allowed for them to get their points of view across. Thus the voting may create a division in the group — the winners and the losers. This can lead to a preoccupation by the minority on how to win the next battle rather than how to implement the decision made by the majority.

Decision by consensus. This is the most effective way to get the genuine support of a group, but it is also a time-consuming process. Consensus is not the same thing as unanimity. Instead it means that those members who prefer a different alternative understand the majority alternative and are willing to support it. Consensus is reached through open and supportive communication where each person feels that he has had a fair chance to influence the decision. Clearly there will not be time to reach consensus on all decisions, but important procedural decisions determining how the group will work (perhaps how it will make future decisions) probably should be made by consensus.

Decision by unanimous consent. Be prepared to count these decisions on a couple of fingers. This is logically and ideally perfect decision making, but an unrealistic standard.

Group Facilitation⁶

As the role of the group increases, the role of the leader becomes that of group facilitator. A facilitator attempts to create an atmosphere where everyone feels free to participate and to help the group organize its thinking as members build on each other's ideas and suggestions. Listening to group members is the key. There are several operating procedures that may be helpful to the group facilitator:

1. Record the pertinent points of the discussion on a flip chart visible to all members. To keep up with the discussion, the essence of the thoughts should be summarized in three to six words, but the contributing member must be satisfied that you have adequately distilled his thoughts. Any member can disagree with a point when it is visibly recorded on the chart or later on in the discussion. The facilitator will frequently cross out and change points to meet the group's satisfaction. When a sheet is filled, it should be hung in a readily visible spot. As the group continues, the story of its thinking will be hanging around the room. This permits a review of the group's thinking for itself and, more importantly, for members who did not attend the session.
2. Get agreement on the group's task. Encourage members to state the task or problem situation in their own words so that there can be no misunderstanding as to the group's purpose.
3. Listen. Don't be afraid of occasional silence. Silence facilitates thinking, and thinking facilitates problem resolution.
4. Clarify unclear points by asking, "Do you mean . . . ?" "Let me see if I understand. Is your point . . . ?"
5. If you are not sure of a member's point or if there is a point, ask the group for help: "What does someone else think of . . . ?"
6. Bring out overlooked viewpoints by asking: "Does this fit here?" "Should we think about . . . ?" "Is this what we are trying to say?"
7. Pull the discussion back on course when it becomes too repetitious, blocked or on dead center, dominated by one or two persons, or strongly divergent from the agreed upon task.
8. Help the group refine and focus its ideas by asking, "How can we make this more specific?" "What's our main point here?" "How can I summarize this idea to put it on the chart?"
9. As new ideas are presented and accepted, check them for consistency with what has already been recorded on the flip chart. The group may want to change its course or reverse itself.
10. Periodically, in long sessions or when discussion becomes blocked, summarize and outline what the group has come up with so far.

11. An alternative to summarizing when a degree of agreement exists or when the response to a summary indicates that consensus seems possible is to test for group consensus. Ask: "Can we agree on something like ...?" "I am hearing ... " "Is this right?"
12. When a near consensus seems to exist but there are a few strong objections, help the consenting members to explore the objections open-mindedly. Doing so frequently leads to overall consensus.

By depending on questions rather than positive statements to guide the group's discussion, the facilitator displays an open attitude respecting all the members' thinking. By showing respect, the facilitator encourages the members to keep cool and to consider each other's thinking. As a result, their involvement is more complete, and they are more likely to accept full responsibility for implementing the group decision.

Unfortunately group facilitation can be a time-consuming process and, thus, may be feasible only for major decisions. The size of the group is another important variable; group facilitation is not generally appropriate for groups of over twelve persons. For additional information regarding group dynamics, group facilitation, and conflict resolution, see Helpful Information Sources.

A Decision Making Model

Regardless of who makes the decisions (the leader, the group, or both), a deliberate, rational approach to considering decision alternatives is imperative. The approach of choice varies with the decision to be made and other factors. For key decisions, however, a systematic process for reviewing alternatives and making a final determination is needed. There are many decision making and problem solving models with the same focus: determining what you will get in relation to what you will have to give. If you are not already making important decisions this way, the model presented here is suggested. It may be used by individuals or groups.

First, **define the problem, issue, or what you want to achieve by making the decision.** If you don't know the objective or purpose of a decision, you shouldn't be making it. Don't confuse the purpose with alternatives. For example, whether or not to appoint or request the mayor to serve as chairperson of a board is not so much the purpose of a decision as an alternative way of achieving that purpose.

What do you want to achieve by appointing the mayor — political clout, tie-in with funding programs, support of a local agency, credibility? Is the mayor the best person to fill these shoes? Are there other qualifications and roles for the chairperson that the mayor doesn't meet? The only way to select the best decision alternative is to be sure about the purpose of the decision.

The more important the decision to be made or the problem to be resolved, the more important it is to diagnose carefully the causes of the problem or the reasons the decision is important before suggesting possible solutions. Is the problem or issue as presented the real one or is it a symptom or side effect of the target issue? What information is available on the decision to be made? What information is needed? Rarely, if ever, will you have all information relevant to the decision to be made. Determining how much additional information to seek should be based on the importance of the decision and other situationally specific factors. Some people make most important decisions through indecision because they are afraid to suggest changes or alternatives in the face of incomplete information. Thus, the status quo may be protected even though available information documents its ineffectiveness. Be wary of such professional caution; rational decisions are the best decisions under the circumstances. Sometimes deciding not to decide is rational, and sometimes taking a gamble is rational.

Second, **list possible action alternatives.** If the decision is a group decision, you might brainstorm possible solutions and alternatives. Alternatives may already exist, or they may have to be invented. For example, suppose that you want to improve the cost effectiveness of a program. Seeing more clients may be an alternative only if you can devise ways to recruit more clients. The status quo should always be listed as a possible alternative.

Third, **assess the alternatives in terms of possible repercussions, both good and bad.** For some alternatives, the bad consequences will clearly outweigh the good ones, so these alternatives may be quickly discarded. The weights to assign the possible repercussions will depend on your purposes for making the decision, your resources, and your values or priorities. There may be both "musts" and "good ifs" for evaluating the alternatives. A "must" is a decision constraint; for example, the selected course of action cannot cost more than \$1,000, or it must be possible to achieve within two months. It is "good if," but perhaps not essential, for a decision alternative to fulfill

your preferences. When assessing alternatives, begin with the "musts," and then move on to the "good ifs" only for those alternatives that satisfy the constraints of the "musts." For important decisions, write out the alternatives along with the possible repercussions.

Alternatives	Consequence/Repercussions	
	Costs/Cons Disadvantages	Benefits/Pros Advantages
1.	1. A B C	1. A B C D
ETC.		

Decision making allows you to analyze and compare a range of alternatives. If you want to analyze a single alternative in depth (e.g., whether or not to appoint the mayor), then use the force field analysis technique presented in Chapter 6.

Fourth, *if no alternative seems to be a frontrunner, further analyze the alternative finalists*. You might want to look at what each remaining alternative would require from members of the decision-making group and whether the members are willing to make the effort. Another important consideration is whether there are measures that you can take to offset some of the negative repercussions or costs of some of the alternatives.

Fifth, *decide upon an alternative*. To make the final choice, you might use any of the decision-making patterns previously discussed. However, to facilitate effective implementation, you might select the alternative that is most supported by members of the decision-making group or those who will be responsible for implementation.

Sixth, *implement the decision*. You must organize for action or develop an action plan to implement decisions. Be sure to investigate measures to offset undesirable repercussions. If the decision was made to resolve the problem, think of ways to prevent the reoccurrence of the problem. To improve your decision-making ability and to determine if the decision made is effective, you must plan for a later evaluation of the outcomes or results of the decision.

Guidelines for the Leader

Being an effective leader is never easy. If you are expected to be both a results-oriented manager and a people-oriented leader, the conflicting demands and priorities placed on you may at times seem overwhelming. The best approach is to capitalize on your own leadership and managerial capabilities and then build a team to supplement the traits you do not possess. A simple formula is not available, but the following guidelines should help you become a more effective leader.

- Be flexible. Choose from the range of leadership patterns the approach best fitting each particular situation. In selecting an approach be aware of relevant personal, group, and situational forces.
- Regardless of the leadership approach and how decisions are made, communicate and share information with participating volunteers. You may have access to information that others need to know to participate effectively, as well as information that others would just find fun to know. Volunteering can and should be fun. There are several ways to achieve this:
 1. Devote part of each meeting to bringing members up to date on what's new.
 2. When using written reports, be brief. Such reports should be frequent and as personal and informal as possible. They should focus on what people would like to know — on the cause, not on the organizational structure.
 3. Look for human interest items that will help members have a good feeling about their work.
 4. Look for some measures of success to present; don't always talk about problems and how far off schedule you are.
- Be honest. Let the group know how much influence they will have in a given situation and the degree of authority that you will exercise as a leader. The democratic facade of "making them think it was their idea in the first place" is unethical and risky.
- Be certain that necessary and crucial decisions are made one way or another — by involving as many members as possible whenever feasible or by yourself in those situations which demand it.
- Recognize that participative decision making is not a way of "passing the buck." As the recognized leader, you are held responsible for the decisions regardless of who makes them.

- Recognize the difference between management and leadership work on the one hand and operating work on the other. Operating work can help you stay in the forefront, to recognize and empathize with what group members must contend; however, it can also interfere with your primary role — leadership. Leaders and managers frequently submerge themselves in operating work because it provides more immediate personal satisfaction. Subconsciously this may be a way of avoiding or postponing difficult but important leadership tasks.
- Recognize that formally designated persons are not the only leaders, but that informal leaders emerge in most groups. An informal leader is the person whom group members turn to when they have problems or need advice. He is respected, trusted, and loved by the group because of his patience, understanding, and willingness to treat each member as a unique individual. Formal leaders are generally threatened by the existence of strong informal leaders and attempt to compete with or discredit them. This only enhances the position of the informal leader and increases resistance to the formal leader. The best approach for the

formal leader is to try to pull the informal leader into the leadership and/or management team. The formal leader should recognize the status of the informal leader and try to learn what it is that makes him so attractive to the group. By consulting frequently with the informal leader, you can pave the way for increased acceptance by the group of new and controversial ideas and practices. Informal leaders can serve as an effective sounding board for decisions that must be made in a hurry without first going to the group.

- If you feel that you are doing all the work, if you are neglecting your home, family, and other interests, if the project has become or remained a one-person show, then you are not a leader but a martyr who wants all the glory and all the control. Share work, control, and glory!
- Emphasize the attainment of desirable human relations objectives as well as the accomplishment of program objectives.
- If you can say "thanks" a dozen times a day to participating volunteers without being thanked once in a dozen days, you have a firm handle on what being a leader is all about.

Helpful Information Sources

Luft, Joseph. *Group Processes: An Introduction to Group Dynamics*. Palo Alto, California: National Press Books, 1963. 122 pp.

A basic introductory text, this exceptionally readable publication explores all facets of group interaction including the relationship of group processes to organizational behavior, clinical psychology, and metacommunication.

NOTES

1. Jack R. Gibb, "Dynamics of Leadership and Communication," *Leadership and Social Change*, William R. Lassey and Richard R. Fernandez, eds. (LaJolla: University Associates, Inc. 1976), pp. 107-108.

2. *Ibid*, p. 108.

3. Adapted from Robert Tannenbaum and Warren H. Schmidt, "How to Choose a Leadership Pattern," *Leadership and Social Change*, William R. Lassey and Richard R. Fernandez, eds. (La Jolla: University Associates, Inc., 1976), pp. 25-43.

4. *Ibid*.

5. Adapted from Edgar H. Shien, *Process Consultation: Its Role in Organizational Development* (Reading, Mass.: Addison-Wesley, 1969), Ch. 5, "Group Problem Solving and Decision Making," which is patterned after a formulation first proposed by Robert Blake.

6. Adapted in part from Bert Strauss and Mary E. Stowe, *How to Get Things Changed* (Garden City, N.Y.: Doubleday and Co., Inc. 1974).

Chapter 14

Personnel Management

(The Doers)

Personnel management is a crucial activity that largely determines how successful you will be. No matter how well an undertaking is structured, unless you have the right people performing required tasks, failure is imminent.

The steps or tasks of personnel management discussed in this chapter include recruitment, screening and selection, orientation and training, motivation and incentive or support structures, supervision and evaluation, and volunteer-staff relations. Although these concerns are presented as distinct steps or activities, they are, in fact, interrelated and form a continuous process, wherein each step influences other steps. For example, focused or goal-oriented recruitment is also prescreening because it zeroes in on certain types of people to screen out those lacking the required qualifications. Orientation and preservice training are also screening devices in that they provide detailed information on what the job will be like and, thus, permit honorable exits for those who discover that the work isn't for them. Some initial prospects will fail to show up for orientation and preservice training, and others may attend irregularly. Such behavior provides input to the program manager's screening decisions. During the formal screening process, applicants also learn about the job and your organization, which amounts to training. Supervision and evaluation of individual performance can be utilized for in-service training purposes. Providing high caliber training opportunities can be considered as part of your incentive or reward structure and can become a major recruiting attraction.

Concern with personnel management should be preceded by a determination of your staffing needs through developing an action plan as discussed in Chapter 9, and structuring your operations as discussed in Chapter 12. Staffing needs may call for other volunteers, salaried staff, or both. The roles or jobs to be filled may be primary-service or supporting-service ones as discussed in Chapter 3. This chapter focuses on the volunteer leader/catalyst who is developing a criminal justice project to be staffed by other

volunteers. In addition a brief discussion of working with salaried staff is presented in the last section of the chapter.

Job Descriptions

Job descriptions serve a valuable function in personnel management. They are helpful with:

- recruiting, interviewing, screening, placing, training, and supervising volunteers;
- arranging work loads and facilitating coordination and communication among all positions and, accordingly, all personnel within a program;
- assisting new staff to quickly understand what others do and how their position relates to others; and
- evaluating and promoting volunteers.

A job description would generally include the information outlined in the following illustration.

Job Title:

Position Objectives and Responsibilities:

(This explains why the position exists and of what it consists. It may also include a designation of whom the incumbent would supervise, if anyone, who would supervise the work of the incumbent, and a designation of other important working relationships in addition to those within the organizational hierarchy.)

Desirable Knowledge and Skills, Including Education, Experience, and Interests:

(A statement of minimum job qualifications.)

Job descriptions may include other detailed information, such as minimum hours of service required per week, length of time the position is expected to last, training that must be completed, and procedures and schedules for supervision and evaluation.

Ideally you should prepare job descriptions before people are assigned to the positions. In some situations, the workers — such as yourself and other members of your organization — will

be involved before the jobs are determined and the descriptions prepared. In such cases, it is important that the job description be prepared to represent the needs and demands of the position, not the qualifications and interests of the incumbent. Otherwise, you will have person descriptions, not job descriptions. This does not mean, however, that positions cannot be broadened to take advantage of the unique skills and interests of the people filling them.

Recruitment

There are basically two methods of recruitment: goal-oriented or focused and generalized or shotgun.

Focused Recruitment

Focused or goal-oriented recruitment refers to contacting particular individuals or groups about specific jobs. First, list the specific jobs that need to be done; then, identify the personal qualities and/or skills needed to accomplish these tasks; and finally, look for people who have the necessary skills and talents.

Generalized Recruitment

Generalized or shotgun recruitment refers to general appeals for volunteers aimed at broad public audiences. Such efforts typically utilize the mass media and rely on the public relations techniques discussed in Chapter 16. A generalized recruitment presentation might emphasize:

- contributions volunteers can make through working with your program;
- the range of available volunteer opportunities; and
- incentives and resources available to participating volunteers.

Since generalized recruitment is not based upon recruiting people with specific qualifications to fill specific jobs, it does not serve as an effective screening device. Rather, it is through the general entrance interviews that you learn of the specific skills potential volunteers have and that they learn of the specific jobs available.

Generalized recruitment increases the burden of other personnel management activities and, thus, is not a desirable approach unless you need large numbers of volunteers and/or have a wide range of volunteer job opportunities. Recruiting volunteers and then finding things for them to do based upon their skills is a case of being managed by resources rather than managing resources. Generalized recruitment can place you in the position of having to turn down

or reject large numbers of volunteer applicants, which is bad public relations.

Recruitment Techniques

The key to recruiting good volunteers is a good program offering meaningful opportunities for self-growth and for contributing to constructive changes in the way things are done. Recruitment techniques and activities are then directed toward making people aware of the program and encouraging them to become involved.

The public relations techniques discussed in Chapter 16 may be used for either focused or generalized recruiting efforts. In addition to direct appeals and indirect appeals, as discussed in that chapter, recruiting may be delegated to another agency or program. Volunteer Bureaus and Voluntary Action Centers exist in many communities. These organizations specialize in recruiting and, to some extent, training and evaluating volunteers for placement in other community organizations and programs.

When using indirect appeals for focused recruitment, particularly those based on mass media communication, you will want to include a listing and possibly a brief description of available volunteer opportunities, along with the types of persons needed to fill these positions.

Experience has repeatedly demonstrated that the personal approach is by far the most effective in volunteer recruitment. The epitome of the personal approach is the friendship chain in which you ask friends or acquaintances to participate and they, in turn, suggest and/or ask personal friends to volunteer. The disadvantage of the friendship-chain recruitment approach is that there is a tendency to be more lax in screening, training, supervising, and evaluating friends who are participating as personal favors. Before relying on this method, ask yourself if you will be able to handle situations where the performance of friends does not meet established standards.

Handwritten notes, personal phone calls, small get-togethers can help add a personal touch to other recruitment techniques. Personal contact shows that you consider each prospect's involvement important enough to make a special effort to recruit him.

Keys to Effective Recruitment

Besides using job descriptions and a personal approach, the guidelines presented here should enhance your recruitment efforts.

- Encourage prospective volunteers to discuss their needs, interests, and expectations. Give them time to think over if, how, and when they might best serve.
- When appropriate, try to break large jobs into meaningful components that can be done by several persons who can donate only small amounts of time.
- Show enthusiasm about the project and the role prospective recruits can play.
- Do not over-recruit. Having long waiting lists or turning down prospective volunteers you have recruited is bad public relations.
- Recruit within one month of the time you are ready to put a prospect to work. If there is a longer lag, they are likely to feel they weren't really needed and to lose interest and enthusiasm.
- Develop a systematic plan of rewarding participants (as discussed later), and communicate to prospects how they can benefit from their involvement in the project.
- If possible, indicate your willingness to reimburse volunteers for out-of-pocket expenses like parking fees, postage, and perhaps baby-sitting costs. If such reimbursements are not possible, indicate that mileage, parking fees, and some other expenses are tax deductible.
- Delegate primary responsibility for your recruitment program to one person or to a small committee. This facilitates an assessment of what recruitment practices work best for your particular program. The cooperation of other members will be needed if you emphasize one-to-one personal recruitment.

Sources of Volunteers

Volunteers may be recruited in groups or as individuals. The advantage of recruiting individuals is that each person is more likely to be committed to the work based on interest in the program or the sponsoring group. On the other hand, group recruiting allows you to get more volunteers at one time. When people volunteer on the basis of their affiliation with some other group or organization, their primary loyalty is likely to be to the parent group, a situation which may pose some problems.

Volunteers may come from local colleges and universities, corporations and businesses, service clubs, social organizations, professional organizations, churches, etc.

In the past, volunteering has been largely a middle-class, middle-aged, white woman's

occupation. Today there is an increasing trend for such women to obtain full or part-time employment, which reduces their available time. Also, there is increasing recognition that many volunteer programs can be enhanced by the participation of non-traditional volunteers who represent a wide spectrum of socioeconomic characteristics. The concept of equal opportunity dictates that volunteer participation be fostered among all population groupings in the community. Frequently untapped sources of volunteers are:

- minority groups,
- poor or economically disadvantaged,
- youths aged thirteen to twenty-one years,
- retire and older persons,
- blue-collar workers and union groups,
- business and professional persons,
- handicapped persons,
- men,
- criminal justice system clients,
- ex-offenders, and
- culturally or socially disadvantaged persons.

Representatives of these and other groups may provide a different and needed perspective to your voluntary program. These groups include prospective volunteers who have special knowledge, skills, and experiences that can help many programs. When they have backgrounds similar to a program's clients, they can help link you to the clients and facilitate mutual understanding.

Recruitment and effective utilization of members of some of these groups may require special recruitment considerations and practices. Recruitment efforts must be geared to the target groups being recruited. Tips on special recruitment may be found in the Helpful Information Sources at the end of this chapter.

Screening and Selection

The type, intensity, and even existence of screening should be based on the type of volunteer jobs available and the qualifications needed to handle the involved tasks.

For some volunteer programs it may be presumptuous to sit in judgment as to the suitability of persons offering their assistance. Many programs are designed to elicit as much citizen support and participation as possible and, thus, should want to screen in, not out, prospective volunteers. Although a prospective

CONTINUED

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volunteer may not be equipped to perform certain functions, he will likely have something to contribute and can be useful in some manner. If a person who wants to help doesn't fit any of your job descriptions, consider developing a job to fit the person. Such flexibility is particularly desirable in the case of persons possessing unique qualifications or coming from one of the nontraditional sources of volunteers (e.g., poor, minorities, ex-offenders, etc.). Often, all that will be necessary to effectively utilize the special expertise of such persons is to break out and regroup some of the tasks included in a job description or to establish a special advisory role.

Extensive screening is clearly inappropriate when attempting to secure the services of persons with particular skills to perform specialized tasks. In such cases, "The selective recruitment phase might better be described as a 'talent search,' and the personal interview may be characterized more appropriately as a 'personal plea for help.'"¹ An example would be attempting to secure the assistance of media experts, accountants, and members of the community power structure to serve on an advisory board. For some specialized positions, there may be only a few people in the community who can perform the needed function, and you may be in a position of competing with other organizations for these people's limited time.

Yet screening is a viable function, particularly for programs that provide human services or extensive and, thus, costly training to selected volunteers. Rather than resenting it, many prospective volunteers react favorably to intensive screening. Careful and rigorous screening indicates that the job is considered important and that attempts are being made to avoid placing volunteers in inappropriate positions. Thus, for many new volunteers, screening can reduce the anxiety and fear of being assigned threatening jobs. Also, some believe that the greater the amount of effort required to get into a program, the more likely the volunteer will remain committed to the program.

Screening procedures frequently consist of four phases:

- selective recruitment,
- volunteer application form,
- personal interview, and
- performance during training.

While elaborate screening devices (such as psychological, attitudinal, and personality tests) are sometimes used by institutions with volunteer program components, they are inappropriate for most situations. The screening

procedures discussed in the following pages will not apply to all voluntary programs or to all positions within a program. You must determine how extensively to screen on the basis of the positions to be filled.

As much as possible, volunteer self-screening should be the principal screening device. Self-screening implies that prospective volunteers are given adequate information about the jobs available and their requisite skills and commitments. Such information should be provided during recruitment, interviewing, and orientation training; each of these stages provides the opportunity for "honorable exits" by prospective volunteers.

Applications Forms

A volunteer application or registration form may include varying amounts of detail, depending on your purposes for using such a questionnaire. Typically, a prospective volunteer is requested to complete the form after initially indicating an interest in the program and before the initial interview. This enables the interviewer to follow up on pertinent items. Since such forms may be used as permanent informational records on volunteers, it is wise to use them even when there is no question as to the prospective volunteer's acceptability as a program participant.

In some situations you may want to check with mutual acquaintances or references given by the prospective volunteer to see how effective and dependable they consider the applicant. Before doing so, get the applicant's approval.

Interviews

An interview is a conversation with a purpose. The purpose of screening interviews is to become acquainted with the prospective volunteer and he with the program. Even when the applicant does not become a volunteer, a warm, informative interview can be the foundation for a supportive attitude toward your program and possibly criminal justice system reform.

During the interview you should discuss your program, its philosophy, and action plan. The interview should also include a discussion of:

- range of available job opportunities,
- expectations and requirements for each,
- hours of service required,
- preparation required,
- supervisory relationships, and
- incentives or rewards provided.

Your job descriptions will be a guide for the discussion of available positions. Questions should be asked about:

- the interests of the applicant,
- the skills he possesses, and what experience he brings to the program,
- what skills, if any, he wants to acquire through participation in the project,
- contributions he could make to the program if he does not have requisite background for available jobs, and
- practical limitations on the volunteer in terms of time, distance, etc.

Ample opportunity should be given for the applicant to ask questions.

For some positions, interviews may attempt to assess applicants in terms of personality characteristics, such as:

- self-confidence and maturity,
- warmth, openness, and acceptance of differences in people,
- willingness to learn,
- reliability,
- stability, and
- self-direction.

Such traits may be difficult to discern in one interview, although obvious strengths and weaknesses may be detected. To better understand the attitudes and skills of the applicant, the interviewer might discuss an actual case or situation with him and ask how he would approach handling it.

The most effective type of interview is the individual, face-to-face one. However, in some situations, interviews may be conducted with groups of prospective volunteers as when another organization is offering its services. It may not be reasonable to expect all applicants to come to you for an interview, particularly when dealing with members of the special groupings discussed earlier. On some occasions, you might conduct interviews in the applicant's home, at his place of work, or at community facilities, such as churches, etc.

Prepare a written record as soon as possible after each interview. Maintain these records as part of the informational file on each volunteer.

If interviewing will play a crucial role in your program, you will want further assistance in developing interviewing skills. Directors of personnel departments, and counselors and other staff members in community agencies can provide such assistance; also see the Helpful Information Sources at the end of this chapter.

Selection and Guidelines for Turndowns

If the recruiting and screening stages are properly conducted, very few continuing volunteer applicants will have to be rejected. Prior to final acceptance, do not explicitly promise the

availability of a job. Throughout the recruitment and screening processes provide applicants as many opportunities as possible to screen themselves out honorably.

On those occasions when you must reject an applicant for a particular position, consider offering him a less-demanding position with the project. When this is not feasible, refer the applicant to another volunteer program that may have suitable positions. A local volunteer bureau or Voluntary Action Center may be able to place individuals who cannot fit into your program.

As distasteful as it may be to turn down someone who has offered you his services, avoid placing an obviously unfit volunteer in a position which could adversely affect your program. As was noted earlier, however, almost everyone has something to offer.

Assignments/Placements

Volunteers should be involved in program activities as soon after acceptance as possible. If it is not possible to place selected volunteers in their positions promptly, attempt to sustain their interest by involving them in ongoing activities, such as attending committee meetings or observing established activities.

Placement involves matching the interests and abilities of the volunteers with requirements for particular jobs. Volunteers can be trained, but their primary contribution to your program will probably be their preexisting skills. Thus, the goal of placement is to put volunteers in job situations compatible with their preexisting abilities and interests.

Initial placements and work assignments should offer new volunteers the opportunity to experience some success soon after beginning to participate. This does not mean that you should underplace volunteers; assigning highly capable volunteers trivial responsibilities and busy work can be just as discouraging as being overwhelmed by assigned work.

For unattractive but necessary jobs, consider establishing a system of sharing or rotating the work. This will help minimize the dissatisfaction that can come from underplacement. For difficult assignments, use a team approach in which new volunteers are teamed with experienced ones.

In institutional volunteer programs, written agreements or contracts between volunteers and their supervisors are increasingly being used. These agreements delineate the responsibilities of the volunteer and the responsibilities of the agency or institution.

Frequently, volunteers will have been recruited because of their special expertise and ability to meet specific program needs. In such cases, they know why they have been recruited and what is expected of them so placement or matching is irrelevant.

Training

Training begins with a prospective volunteer's first contact with the program and continues throughout his association with it. Training is inextricably tied to the other personnel management processes. Recruitment begins the volunteer's orientation to the program, and a quality training program is a powerful recruiting lure, since most volunteers are motivated by the desire to learn and grow. A prospective volunteer's attendance of and performance at orientation and preservice training sessions are important parts of the screening process, while the placement interview, a screening tool, plays a major role in orienting the prospective volunteer to the program. Ongoing training serves as a major incentive for continued participation for many volunteers. The process of supervising volunteers is a learning experience for the volunteers and, thus, part of ongoing training.

Thus, there is no decision as to whether or not to include training in your program; it might be bad or it might be good, but training is intrinsic. The decision is how extensive and how well-planned (formal) the training process should be. This has to be determined on the basis of your particular program, the qualifications of the volunteers you recruit, and the jobs that you want them to fill. A well-planned need-assessment stage, as presented in Chapter 5, provides an excellent learning experience for participating volunteers..

Training Guides and Principles

Presented below are a number of factors to consider when planning and conducting training programs.

- **Training should be ongoing.** While a major training event or program may be offered initially, training can not be treated as if it were a one-shot affair. Volunteers will continue to learn throughout their participation, and if you want to promote positive learning and the continued development of competencies, ongoing training and follow-up opportunities must be planned.
- **Training should be relevant.** The train-

ing design should grow out of the overall program design and be directly coordinated with the needs of the volunteers and the needs and resources of your particular program. Thus, the use of "canned" training programs is seldom appropriate except, perhaps, as one component of a locally tailored program.

- **Training should be realistic.** The training program should attempt to duplicate real-life situations the volunteer is likely to encounter on the job. Deemphasize the theoretical aspects by using real incidents, authentic situations, and actual conditions as training exercises or activities. On-site visits of similar and dissimilar operating programs can help during preservice training.
- **Volunteers should actively participate** in planning, conducting, and evaluating training programs. Volunteers should be treated as active participants, not passive recipients. Who knows better than they what they do and do not understand, and what has meaning?
- **Training programs should be flexible.** Different volunteers have different knowledge, skills, interests, and needs. The needs and priorities of your criminal justice program are also likely to change as you go along. Training must be flexible and responsive to changing and current conditions and individual circumstances. A training program outline is desirable but should not be considered sacrosanct once developed. Be willing to modify the training sequence to respond to the spontaneously expressed needs or interests of the participants and to changes in program circumstances. A desirable approach is to assess the expectations and needs of the trainees at the first session or two, and then design later sessions to respond to these.
- **The training leader should act as a group facilitator** — a guide — not as a dictator with superior knowledge and authority. Mutual respect and a feeling of equality should be encouraged. The leader's personal opinions and preferences must be identified as such when presented to the group and not assigned superiority over those of group members. Chapter 13 discusses the process of group facilitation.
- **Training should promote the development of group identity or a team spirit.** The development of an esprit de corps among volunteers facilitates cooperative efforts and reciprocal

support for individual participation. It also serves as a powerful incentive for continued participation. Team building is promoted by an environment that promotes friendliness, informality, and interaction, and discourages rigidity and ceremonial structure. The first meeting or so of a training group might be devoted to "ice breakers" and activities that require involvement and exchange.

- ***The physical setting or location for training should be comfortable.*** Atmosphere is so important to some people that unless they feel comfortable with their surroundings, they block everything else out. Consider such factors as lighting, sound and noise, arrangement of furniture, temperature, availability of supplies, water, ashtrays, meals, and rest room facilities. The location should be easily accessible to a majority of the trainees. Such places as churches, schools, private homes, and community facilities might be used.
- ***Training sessions should not be overlong.*** Most people have limited concentration spans of one to one and one-half hours, and typically a number of shorter sessions is preferable to long ones. Provide break and rest periods with food and drink.
- ***The size of any one training group should typically not exceed twenty persons.*** Generally, a group of eight to fourteen persons is optimal for one leader. Too large a group discourages participation and the development of group identity; a very small group may intimidate members.
- ***The scheduling of training programs should take into consideration that volunteers are part-time*** and have a number of other important roles. The training objectives should be considered when determining whether training should be concentrated and intensive or segmented and spread out.
- ***Various types of materials (handouts, manuals, films, tapes, booklets, etc.) can enhance training.*** Training aids and materials should be obtained, reserved, and previewed, or developed well in advance of the target training session.
- ***Assistance in identifying training needs and developing training programs to meet them can usually be obtained*** from local professionals and nearby universities. You may be able to recruit volunteers to train other volunteers. Potential trainers and guest speakers at training programs include volunteer program coordinators from other programs and agencies, the staff of local

volunteer bureaus or Voluntary Action Centers, criminal justice system officials, veteran or experienced volunteers, community professionals and resource people, college professors, local business trainers, and personnel specialists.

- ***When the project is institutionally or agency based, or when it includes salaried staff, it is desirable to invite salaried staff to attend training programs for volunteers.*** This helps promote a cohesive working relationship among all parties involved.

Training Aids

Generally, when we think of training or education, we think of the traditional format of the teacher lecturing to students. There are, however, many other ways to learn and, accordingly, many other ways to teach, such as:

- ***role playing***, where trainees spontaneously act out a situation relating to a probable work situation involving interpersonal relationships;
- ***dramatization***, where a carefully planned and rehearsed act is executed to illustrate specific points of a problem or situation;
- ***small group discussion***;
- ***round robin***, where each trainee responds for a specified time to a topic or problem presented by the leader;
- ***case study***, where trainees analyze the important factors of an actual situation presented to them as a written case record;
- ***demonstration***, where trainees hear about a technique or piece of equipment and observe a demonstration of it;
- ***observation***, where trainees observe a technique or activity in its real world application, perhaps including on-site visits and tours;
- ***simulation games***, where trainees simulate or "duplicate" a real life situation and observe the consequences of their actions;
- ***group problem solving*** discussed in Chapter 13);
- ***brainstorming*** (discussed in Chapter 8);
- ***individual study***;
- ***audio visual aids***, where trainees view or listen to audio tapes, slide shows, films, television video-tapes, records, charts, graphs, etc.;
- ***panel discussions***;
- ***symposiums***; and
- ***lectures***.

The range of teaching techniques is limited only by imagination and creativity. Each of the

techniques listed above can be adapted to the special circumstances of a particular program.

Trainees should be included in decisions about which training aids to use. The best approach is to use a variety of techniques, since any one of the techniques can be overused. In selecting techniques, consider which can best help you to present your abstract, theoretical, or technical material in a practical, understandable manner.

For a more detailed explanation on how to use various teaching techniques, see the Helpful Information Sources at the end of this chapter.

Types of Training Programs

There are numerous types of training programs and numerous names for each of these types. Discussed below are orientation, preservice training, in-service training, and continuing education. You may want to incorporate one or all of these into your program.

Orientation

An orientation program is typically designed to provide information that all volunteers must have in order to participate in the program. Although different volunteers may perform very different tasks, there is some information pertinent to all of them.

Orientation, like any other training, will be determined by your specific program. In general terms, it might include:

- philosophy, objectives, policies, and history of your program and/or organization;
- definition of basic terms and jargon;
- organizational structure, including boards, committees, and task forces;
- connection and relationships with other agencies, groups, organizations, and agencies, particularly as related to your funding sources;
- description of the overall criminal justice system and of how your program relates to it;
- role of the volunteers in the program;
- tour of relevant facilities — your own and other agencies';
- discussion of what you expect from volunteers and what volunteers can expect from you;
- reporting requirements and why they are important; and
- future training to be provided.

Sometimes enthusiastic volunteers are the best persons to orient the next group of volunteers because they know both sides of the fence. Whoever is responsible for orientation must be

sincerely interested and enthusiastic about volunteer services in addition to being knowledgeable about the program.

Volunteer Manuals. Packages of written materials are increasingly being developed and used as part of orientation programs. They can be used as an outline for the orientation program and also as a continuing reference for volunteers throughout their involvement. In addition to including some of the information already listed, the manual might include:

- organizational chart of your program;
- flow chart describing your action plan;
- list of board members;
- list of project leaders and contact persons;
- list of key terms and definitions;
- rules and regulations;
- information about insurance, reimbursement guidelines, etc.;
- copy of a current newsletter; and
- emergency information, such as what to do if you can't report for an assignment, if someone becomes injured, if there is a fire, etc.

Each volunteer should be given a copy of the manual to keep. Using looseleaf binders allows easy updating and the addition of new material and notes to the manual.

Agency or institutional-based volunteer programs frequently include a ceremonial component during orientation in which a welcome is extended by facility officials and other notables. There is merit in community-based programs including such ceremony in their orientation program by including welcomes and endorsements from prominent community leaders. Frequently these are also written, signed, and included in the first pages of volunteer manuals.

Preservice Training

Preservice or prejob training differs from orientation in that it is used to prepare volunteers for specific jobs requiring technical or paraprofessional knowledge and skills before they begin work. For example, all incoming volunteers would receive orientation, but only those to be involved in psychological testing would receive preservice training; the remainder would go straight to work. The number of different preservice training programs needed will be determined by how many different specialized, technical job areas your program includes and how selectively you recruit volunteers. If you recruit volunteers who already have experience in the necessary areas, after orientation they can move into on-the-job training.

Preservice training can include new volunteers being paired with or observing experienced

volunteers in action. There is little merit in lengthy, theoretical preservice training where you attempt to give the volunteers all the answers before they know most of the questions.

In-Service Training

In-service or on-the-job training provides assistance and feedback to volunteers who are actually performing the duties outlined in their job descriptions. The volunteers' supervisor and/or an experienced volunteer provides routine instruction to the new volunteers on their work assignments. Frequently, new volunteers doing similar jobs are assigned to small groups that meet regularly to discuss their work and to learn from one another. Supervision and evaluation, to be discussed later, are integral to on-the-job training. Individual conferences, attendance at group conferences, and special reading assignments may be part of in-service training.

Continuing Education

Continuing education (sometimes also called in-service training) provides new and old staff with additional knowledge that does not necessarily directly relate to the jobs they are presently performing. Continuing education can serve as a major volunteer incentive, because it is directed toward enhancing the volunteer's understanding of and skills in current and critical issues. It may focus on developments related to the criminal justice system or segments thereof, special concerns and problems facing the voluntary movement, particular problems and concerns of your program, or development of new and specialized skills.

Techniques for continuing education are practically limitless and include:

- rap sessions or group meetings where members share information (These can be formalized as study clubs by having members responsible for program presentations on different issues.);
- conferences, seminars, workshops, or classes organized by other groups and organizations;
- inhouse newsletters; and
- sharing relevant periodicals and books.

Evaluation of Training Programs

To improve and update training programs, they must be evaluated. The true test is how well trained volunteers perform. Yet, the training

process itself can be evaluated by asking volunteers such questions as:

- What was most valuable?
- What was least valuable?
- What would you have liked to see more of?

Suggestion boxes, group discussions, and questionnaires may be used to assess trainees' ideas about training. In some instances a more formal evaluation of the training program may be desired. You may want to focus on how much information was gained through training or what impact training had on the attitudes of trainees. In such situations, a pre-test and post-test may be needed.

Incentives and Support

Volunteers may be motivated to participate in your program by any of a number of factors. Motivation may come from within the volunteer or result from the influence of other groups, family, and friends. Some reasons that people volunteer are:

- to help others;
- to gain new knowledge or develop new skills;
- to achieve recognition and status;
- to utilize preexisting skills and knowledge;
- belief in the cause of the program and a desire to be a part of activities that further that cause;
- to feel needed and useful;
- to please employers who support civic work;
- to make friends and meet new people;
- to satisfy requirements for continued membership in some club or organization;
- to comply with a request for assistance they are unable to refuse;
- to make a difference, to do something; and
- to develop new career directions and to find a salaried job.

Since volunteers are individuals and are motivated by a variety of needs and desires, to provide job satisfaction you must first determine what benefits each volunteer seeks from his involvement with the program. This is, in part, the purpose of interviewing prospective volunteers before assigning them particular jobs or tasks. Never mislead prospective volunteers by promising more rewards than they are likely to find in their assigned work. Such discrepancies are a major cause of job dissatisfaction, low productivity, and decisions to withdraw from voluntary involvements. Variables related to job satisfaction are the work itself

and the opportunities for achievement, recognition, responsibility, advancement, and growth.

To help demonstrate to other volunteers how important you consider their efforts, provide both formal and informal, periodic and ongoing recognition. The following are some techniques for doing this:

- Involve the volunteers in decisions affecting the program and their roles within the program.
- Keep them informed of developments as they occur.
- Accommodate tasks and schedules to the availability of the volunteer.
- Publicly thank every person who makes a contribution to the project.
- Present certificates of appreciation and achievement at meetings. Consider humorous awards, also, for such dubious achievements as receiving the most refusals while circulating a petition.
- Share the limelight at every possible opportunity.
- Send thank-you letters and make thank-you calls to volunteers who complete a job or do something spectacular. Send carbon copies to employers, teachers, parents.
- List volunteers in news releases so that their names will appear in local newspapers.
- Make new members feel welcome by including them in social get-togethers.
- Have teas, lunches, dinners, etc., in honor of volunteers.
- Look for some degree of success even in big failures, and point these out.
- Write letters of reference or commendation that can be used when volunteers are applying for paid employment, entrance into educational programs, or other voluntary opportunities.
- Send greeting cards on birthdays and other special occasions.
- Involve prominent community leaders in recognition programs.
- Provide the opportunity for continuing education and enhancement of skills.
- Provide opportunities for advancement and changes in responsibilities or duties.
- Smile and say "thanks" over and over.
- Don't ask for more than the volunteer can or has agreed to give.

Some general guidelines for providing recognition are:

1. Personalize recognition whenever possible; otherwise it becomes superficial and meaningless. What is considered a real reward to one volunteer may be insignificant or even insulting to another.

2. Recognition should be related to performance and, thus, be sincere and genuine.
3. Every volunteer who has performed satisfactorily, including yourself, should receive some form of recognition.
4. When feasible, base recognition on recorded data — number of tasks completed, hours devoted, etc. This is particularly important when providing references for volunteers.
5. Involve volunteers in planning and organizing formal recognition efforts.

On occasion, it may seem that the time and effort required to recognize and motivate volunteers could be better spent in "production activities," and that other volunteers, like yourself, should derive sufficient reward just from doing worthwhile work. This is not the case, especially not in the beginning. Increased personal satisfaction leads to increased productivity, and increased productivity leads to even greater personal satisfaction.

As was stated in a notebook on volunteer recognition prepared by the National Center for Voluntary Action,²

According to a number of experts in the field of volunteerism, the concept of "volunteer recognition" is badly in need of overhaul, expansion, and redefinition. In the literature on volunteerism, "recognition" tends to be tucked at the end of a booklet or the close of a chapter and any discussion at all is likely to center on formal ways of saying 'thank you' to volunteers.

A number of volunteer leaders agree that formalities have their place. Pins are worn with pride. Certificates are framed. The lunch or dinner is enjoyed. However, they suggest, such festivities are merely a final salute in the total process of recognizing volunteers and should develop simply as the outward celebration of the already clearly acknowledged fact that volunteers are valued and valuable.

If the value of the volunteer is central to the thinking of programs enlisting their services, recognition becomes a day-to-day practice, motivating careful recruitment, intelligent orientation, purposeful training and well conceived assignments.

The volunteer knows from the job he is given, from the way it is presented, from interactions with others working with him whether his work is considered useful or not. Banquets at the end of the year cannot camouflage daily experience. The engraved plaque is a pleasure only if it sums up what

has been communicated in many ways all year round.

The notebook goes on to say,

Recognition of volunteers — whatever form it takes — is welcomed when it is genuine in proportion to the work done related to on-the-job activity as well as annual celebrations.

Recognition amounts to saying thank-you

in small ways (most of the time)
in big splurges (occasionally)
sometimes verbally ("thanks")
sometimes formally (pins, parties)

but is generally best communicated to the volunteer by the sort of work assigned him. Through the nature of the job entrusted him, he learns —very quickly — whether what he does and how he does it has significance and whether he would be missed if he stayed away.

Publications on motivating and recognizing volunteers may be found in the Helpful Information Sources section.

Supervision

Supervision serves many important functions, including:

- job clarification and objective setting;
- assuring that work is being done in accordance with plans and on schedule;
- helping workers perform assignments;
- providing knowledge and skills to the workers;
- obtaining feedback on the performance of individual workers;
- motivating workers and rewarding them for work well done; and
- troubleshooting between workers and the system.

Supervision is part of ongoing in-service training, as discussed in this chapter, and process evaluation or controlling, as discussed in Chapter 10.

A superior's looking over a subordinate's shoulder, anxiously awaiting commission of a mistake, is not constructive supervision. The amount of supervision needed is determined by the nature of each job, and the needs and qualifications of each volunteer. Lines of authority and supervisory relationships should be included in all job descriptions. A supervisor has basically three roles:

1. **helping** volunteers become familiar with the program and learn how to perform their tasks competently;
2. **appraising** the volunteers' performance in terms of individual strengths, weaknesses, accomplishments, and problems, and providing praise to volunteers for their contributions; and
3. **serving** as a liaison between the volunteer supervisee and other volunteers, project leaders, and others.

The supervisor is the person whom volunteers notify if they are unable to report to work, who authorizes changes in work activities, and who evaluates the performance of volunteers. It is crucial for supervisors to have developed alternative plans ahead of time for those situations when volunteers cannot fulfill their assignments.

Ideally, the first contact between a supervisor and volunteers under his supervision occurs during the interviews of prospective volunteers. After that, supervisory conferences may be scheduled on a regular basis. In addition, supervisors should maintain an open-door policy. Supervisory conferences may be held with individual volunteers or with groups of volunteers performing similar tasks.

Evaluating Volunteer Performance

The supervisory roles discussed above relate primarily to the supervisor as friend and guide. A more formal role is that of evaluating the individual performance of volunteers. Evaluation consists of determining how well a volunteer is doing in relation to established objectives and standards.

Advanced preparation for evaluation conferences should include a review of assignments, attendance records, and specific difficulties observed or previously discussed. Written evaluation forms completed by the supervisor and/or the volunteer can be helpful tools. See Helpful Information Sources for readings on volunteer supervision.

Volunteer/Staff Relations

Your criminal justice involvement may entail hiring staff or working in conjunction with salaried staff at some existing agency or institution. In either case, the problems of volunteer/staff relations may confront you.

When you hire staff to support your own program, give careful consideration to the staff versus volunteer role in decision making. The

natural tendency in voluntary organizations with salaried staff is for the volunteers to become overly dependent on the staff. Most of the guidelines presented in this chapter on recruiting, screening, assigning, training, rewarding, and supervising volunteers may also apply to salaried staff. However, there are differences.

With salaried staff be more focused in recruiting. Agencies and organizations utilizing people with the backgrounds that you want can guide you to the major sources for finding these people. For example, if you wanted to hire a social worker, you might consult with schools of social work and welfare agencies; you might advertise the position in appropriate professional newsletters and journals. Be much more selective in screening prospective applicants. Scrutinize education, past experience, and references. Ordinarily you would not provide a salaried person with basic skills training. While orientation and in-service training are important for salaried as well as volunteer staff, when hiring someone for a job, you are generally doing so on the basis of his current skills.

If you develop a program supporting an existing institution or agency, be sure to involve the staff with whom you will be ultimately working in planning your involvement. It is not enough to work with the executive director or some other official in planning and structuring your involvement. Time after time, Leagues have found that the endorsement and support of institutional officials did not filter down to the operating staff. Clearly, it is the institutional official's responsibility, not yours, to involve his staff; yet, the consequences of not involving

relevant staff can be so detrimental, that if the official does not do so on his own accord, you should suggest that this be done.

It is not unreasonable, but sensible, for paid staff to participate in developing the volunteer program. They may be included in determining how volunteers will participate; how they will be recruited, trained, supervised, and evaluated; and how the program will be administered and financed. If staff are not included in making these decisions, they definitely should be oriented to the decision outcomes. To enhance volunteer/staff relations:

- Include paid staff in volunteer training programs.
- Include volunteers in paid staff training programs.
- Conduct informal volunteer/paid staff rap sessions.
- Award paid staff recognition for cooperative involvement with volunteers. Certificates and other formal incentives may be awarded to paid staff when they are awarded to volunteers.

Historically, staff misunderstanding has been the biggest barrier to institutional-based voluntary programs. To overcome the resistance of institutional staff, you must be sensitive to its sources or causes (see Chapter 15). Typically, participation and involvement are the keys to resolving this obstacle. A one-shot orientation program for paid staff is not enough. Staff turnover in criminal justice agencies is so great that six months after you have oriented the staff, no one may know who you are. See Helpful Information Sources for readings on volunteer/staff relations.

Helpful Information Sources

Recruitment

- Levin, Stanley. *Volunteers in Rehabilitation*. Washington, D.C.: Goodwill Industries of America, Inc., 9200 Wisconsin Avenue, Washington, D.C., 20014, 1973. Booklet #5 entitled "How to Recruit Volunteers."
- Pell, Arthur R. *Recruiting, Training and Motivating Volunteer Workers*. New York: Pilot Books, 347 Fifth Avenue, New York, N.Y., 10016, 1972.
- Schwartz, Ira. *Volunteers in Juvenile Justice*. Washington, D.C.: Law Enforcement Assistance Administration, 1977. Chapter 8, "Special Recruitment Concerns and Issues."

Interviewing

- American National Red Cross. *Guidelines for Improving Interview Skills*. Washington, D.C.: General Supply Office, American National Red Cross, 18th East Street, N.W., Washington, D.C., 20006. Stock No. ARC 2308, free.
- City of New York, Board of Education — School Volunteer Program. *Interviewer's Guide*. New York: NYC Board of Education, 20 West 40th Street, New York, N.Y., 10018, 1975. \$1.00.
- Council for Community Services in Metropolitan Chicago. *For Volunteers Who Interview*. Chicago, Illinois: Council for Community Services, 64 E. Jackson Street, Chicago, Illinois, 60604. \$3.00.
- Garrett, Annette. *Interviewing: Its Principles and Methods*. New York: Family Services Association of America.

Training Techniques

- Jorgenson, J.D., and Scheier, Ivan H. *Volunteer Training for Courts and Corrections*. Metuchen, J.J.: Scarencrow, 1973. Part 3.
- Levin, Stanley. *Volunteers in Rehabilitation*. Washington, D.C.: Goodwill Industries of America, Inc., 9200 Wisconsin Avenue, Washington, D.C., 20014, 1973. Booklet #7 entitled "How to Prepare Volunteers to Help."

Recognition and Motivation

- Levin, Stanley. *Volunteers in Rehabilitation*. Washington, D.C.: Goodwill Industries of America, Inc., 9200 Wisconsin Avenue, Washington, D.C., 20014, 1973. Booklet #9 entitled "How to Motivate Volunteers."
- National Center for Voluntary Action. *Volunteer Recognition*. Washington, D.C.: National Center for Voluntary Action, 1978 Massachusetts Avenue, N.W., Washington, D.C. 20036, 1975.
- Wilson, Marlene. *The Effective Management of Volunteer Programs*. Boulder, Colorado: Volunteer Management Associates, 279 South Cedar Brook Road, Boulder, Colo., 80302, 1976.

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- Levin, Stanley. *Volunteers in Rehabilitation*. Washington, D.C.: Goodwill Industries of America, Inc., 9200 Wisconsin Avenue, Washington, D.C., 20014, 1973. Booklet #8 entitled "How to Supervise and Evaluate Volunteers."

Volunteer/Staff Relations

- Lewis, Charna A., and Johnson, Leo F. *Keys to Creative Work with Volunteers*. Worcester, Massachusetts: Charna Lewis, 32 Walnut Hill Drive, Worcester, Mass., 01602. \$3.50, plus 50¢ postage and handling.

Notes

1. Ira M. Schwartz, Michael J. Maloney, and Donald R. Jensen, *Volunteers in Juvenile Justice* (Washington, D.C.: Law Enforcement Assistance Administration, 1977), p. 128.
2. National Center for Voluntary Action, *Volunteer Recognition* (Washington, D.C.: National Center for Voluntary Action, 1785 Massachusetts Avenue, N.W., 20036, 1975).

The Junior League of Cincinnati Structures An Autonomous Community Agency

An assessment of the criminal justice system in Cincinnati was undertaken by the local Junior League in response to the National IMPACT Program. Following the Houston Institute, a formal study group initiated a search for the most feasible project by which the Cincinnati Junior League could contribute to the criminal justice system.

Initial planning, including the IMPACT survey, revealed a poorly coordinated network of criminal justice agencies. In fact, there were thirty-nine law enforcement agencies in Hamilton County — in which Cincinnati is located. During their deliberations about the lack of coordination among public agencies, the League realized that the network of voluntary efforts in the community was also poorly coordinated. A referral-placement center for volunteers was in operation, but the center was not involved in training and/or evaluating the work of the volunteers. The need for such an operation was openly cited by the center. In addition, not only were citizen volunteers already involved in city court and police department activities, but other criminal justice agencies were interested in utilizing or expanding volunteer efforts. The expansionary future of criminal justice volunteerism, coupled with the need for volunteer training and evaluation, presented the Cincinnati Junior League the opportunity to develop a program which would contribute to the effective linkage of volunteers to the criminal justice system.

After identifying the need for training, placing, and evaluating citizen volunteers participating in the criminal justice system, the Junior League

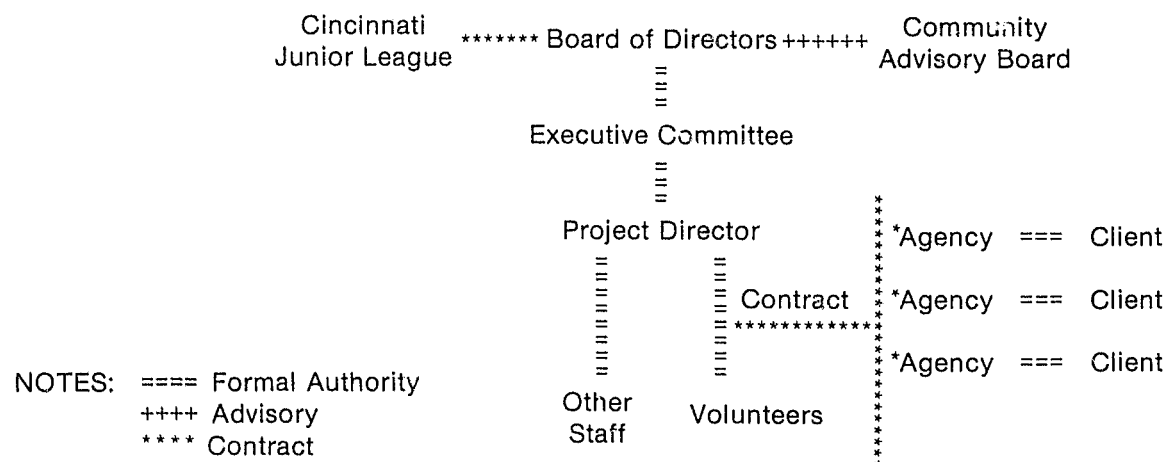
was faced with such decisions as the following:

1. What were to be the goals of the proposed organization?
2. Should the Junior League directly operate the organization which would train, place, and evaluate volunteers?
3. Would the proposed organization best be attached to an existing agency (such as the city court)?
4. What mixture (if any) of citizen volunteers and professionals would be needed to maintain the program?
5. How would the organization be funded?

The purpose of organization was first delineated: to develop, implement, and evaluate a criminal justice education and training program. Then skilled citizens could be used in adult and juvenile probation, and in community-based adult treatment facilities as counselors and client advocates to improve the delivery of social services. In short, an organized system of citizen participation in corrections was the goal.

The Junior League decided that for it to operate the proposed program would overextend its resources. It also thought that to attach the proposed organization to an existing agency was not the most effective way to handle a broad criminal justice utilization program. A more objective approach would be possible by staying autonomous. An incorporated organization — the Justice Volunteer Corps (JVC) — was decided upon. In order to provide a mixture of informed citizens as well as criminal justice professionals, an organizational structure as shown in the below illustration was developed.

Justice Volunteer Corps, Inc. Organizational Structure



The Composition of the Boards and Executive
Committee is as follows:

Board of Directors:

President
Vice-President — Educational Programs
Finance Director
Junior League Liason
Media Representative
Project Tracker — Evaluation
Member-at-Large
Attorney
Volunteer Representative
Community Advisory Board Representative
Client Representative
Agency Representatives

Advisory Board

Lawyers (4)
City official
Business executive

**Advisory Board
(cont'd.)**

Agency representatives (3)
Media executives (2)
Judges (2)
Police representative
Church/religious leaders (2)
Retired professionals (2)
Bar association president
Law school dean

Executive Committee:

President
Vice-President — Educational programs
Finance director
Junior League liaison
Media representative

A written contract was signed by the League and the incorporated Justice Volunteer Corps. The contract provided for Junior League representation on the board of directors and consideration of Junior League members for volunteer work. In return, the Junior League drew up the proposal for submission to the Law Enforcement Planning Agency for the initial two-year funding and contributed the required 10 percent cash match.

As an incorporated body, the Justice Volunteer Corps was required to have a board of directors. Instead of drawing the board entirely from the Junior League or, for example, from criminal justice professionals, a group of lay citizens was selected. This was to insure that an informed group of citizens controlled the policy and legal aspects of the program.

Since lay citizens rather than system professionals composed the board, it seemed important that the board members receive some initial orientation and training. Once the proposal was funded, a management consultant prepared a training sequence to orient board members to their roles and responsibilities, and to sensitize them to the criminal justice system. Each board member prepared job descriptions or listing of roles as part of the orientation process and their team building. This procedure led to increased acceptance of roles and responsibilities since the members participated in defining their own functions.

ROLES OF BOARD MEMBERS

President: two-year term

1. Preside at board and executive meetings
2. Supervise director
3. Authorize some expenditures
4. Legal responsibility
5. Grants manager
6. Public Relations representative (as member — not board position)

Vice-President: one-year term

1. Preside in the absence of the president
2. Serve on executive committee
3. Serve on education planning committee (program committee)
4. Serve as convenor of nominating committee

Jr. League Liaison: one-year term

1. Liaison from the Junior League to the JVC
2. Liaison from the JVC to the Junior League

3. Member of the JVC Board — policy decisions, supervise director
4. Member of the executive committee of the JVC board
5. Member of the program (education) committee

Finance Chairman: two-year term

1. Research ongoing project funding
2. Establish and convene finance committee
3. Make recommendations to the board on funding proposals/possibilities

Public Relations: one-year term

1. Advise director on public relations and advertising with general public, government, clients, etc.

Advisory Committee Representative: one-year term

1. Responsible for fiscal and other matters of policy, including public relations
2. Chairman of advisory committee
 - a. Represent advisory committee on board
 - b. Interpret JVC to advisory committee

Volunteer Representative: one-year term

1. Act as liaison with volunteers to JVC
2. Serve on program committee

Agency Representative: one-year term

1. Representative of and advocate for agencies served by JVC
2. Participate in policy making
3. Part of director's corporate boss
4. Keep the board informed about the agencies

Client Representative: one-year term

1. Serve as client advocate on board
2. Represent JVC to clients

Legal Advisor: two-year term

1. Advise board and staff in legal matters

Evaluator: two-year term

1. Assist in creating evaluation processes and tools
2. Serve as liaison with consultants

Member-at-Large: two-year term

1. Board responsibilities common to all members
2. Liaison to accountant

Accountant:

1. Overall responsibility for financial aspects of JVC including: financial reports, federal, state, and local tax report filings
2. Maintain goal oriented budgeting
3. Advise member-at-large

Responsibilities Common to all Board Members

Employers of staff
Public Relations person in community for JVC
Set policy
Have legal responsibility for JVC as agency
Attend board meetings
Make recommendations
Report to board on activities

After the board members had defined their roles, they received training on policy-solving procedures (that is, how to set goals, assess options, plan programs, and evaluate outcomes). At specified intervals board members completed an evaluation of their performance on the board.

A subcommittee of the board of directors was

established to provide policy direction in intervals between full board meetings and to set agenda for board meetings. This executive committee was also responsible for directly supervising the salaried project director.

To augment the board of directors, a community advisory board was formed approximately six months after the project had begun. The Junior League recognized that broad-based community support was essential for continuity of the program after the original federal grant had expired. It was equally important to have support from professionals and civic leaders, and to have the views of "outsiders" represented by the board of directors.

Fundamentally, however, the advisory board was selected as a way to help obtain community support for future funding. To do this, a Junior League representative, serving as the initial chairperson of the advisory board, identified the power bases in the community; from these leaders prospective members were carefully chosen. The objective was to select people who would sincerely try to make some contribution to the program.

The advisory board meets formally twice a year. During the year, the elected chairperson of the advisory board sits on the board of directors.

The Justice Volunteer Corps, Inc. has trained approximately 150 volunteers for placement in local criminal justice agencies.

The Junior League of Oakland-East Bay Co-Sponsors a Conference on Juvenile Justice

The Oakland-East Bay Junior League co-sponsored a conference on juvenile justice to educate citizen groups in Alameda and Contra Costa Counties, California, about the juvenile justice system and the interrelatedness of its components. Through the conference, the Junior League hoped to help citizens in the two counties to better understand the juvenile justice system and thereby become involved in assisting the professionals in the field to bring about needed change. With a budget of \$650, a conference featuring fifty-four speakers from all areas of the youth-service system, and attended by over 650 persons, was held.

The Junior League, as originators of the conference, took advantage of the fact they could operate within the existing structure of the League. No new formal organization was necessary to implement the project, but in order to make the conference more credible within each county and to increase its financial support, the Junior League decided to ask the Alameda County Juvenile Justice Commission, the Alameda County Delinquency Prevention Commission, and the Juvenile Justice and Delinquency Prevention Commission of Contra Costa County to co-sponsor the conference. Each commission's involvement and support was achieved through a written proposal and an oral request to have a representative participate in planning the conference. The commissions, through their representatives, were thus involved in goal formulation, program development, project implementation, financing, and evaluation of the program.

The Junior League requested that each commission cooperate as follows:

1. agree to cooperate with and/or sponsor the community seminar,
2. provide a list of suggested speakers,
3. provide a list of suggested invitees,
4. provide a liaison member to sit on the conference committee to help plan the program,
5. suggest follow-up project possibilities for citizen participation, and
6. advise the committee on money problems.

In addition to these requests, each county commission was asked to contribute 150 dollars to cover the expenses of the project. In each proposal, the Junior League outlined its responsibility for the conference and what it expected each commission to do. In this way, the co-sponsors were made aware of their responsibilities and contributions to the project. Although the proposals were not in the nature of contractual

agreements, each co-sponsor's role was specifically defined, and thus the parties were partially protected from misunderstandings that could have developed.

Since these commissions and the League were not tied into particular segments of the juvenile justice system, they were able to approach the conference with an unbiased perspective and thereby more easily obtain the support and participation of other groups and organizations. Also, since the commissions were composed of representatives from many groups — schools, media, etc. — their co-sponsorship of the conference facilitated getting local support. An added bonus was the fact that the county public information officer responsible for covering the activities of one of the commissions prepared many news releases on the League and the conference.

The conference was set up as a general meeting of the League, and the League co-chairpersons for the conference were considered general meeting co-chairpersons. Consequently, they were able to utilize existing League committees to help carry out the conference.

There were obvious advantages to this approach in that many of the tasks involved in setting up the conference could be immediately assigned to already functioning committees. One of the most important of these was the arrangements committee, which was responsible for securing a meeting place, making all arrangements regarding the physical set-up of the conference (including equipment, parking facilities), handling preregistration activities, and arranging for coffee and food for the conference. The education committee of the League was responsible for designing a conference evaluation questionnaire and securing people to work at the conference as hostess/facilitators.

The conference committee functioned as overseer of the project, coordinating activities of the other committees and groups. The co-chairpersons had authority for each phase and aspect of the project as representatives of the Junior League.

The commission members on the conference committee attended meetings, made telephone calls, provided lists of suggested speakers and invitees, and acted as moderators and facilitators at the conference. Although not a co-sponsor of the conference, representatives of the National Council of Jewish Women also served on the conference committee, playing an important role in carrying out the project. They assisted in

preparing invitations, printing name tags, collecting information to be disseminated in the conference handouts, and by making contacts with and securing speakers.

The co-chairperson of the conference committee suggested a subcommittee structure which could have been used to accomplish the tasks of the conference committee if it had not utilized the existing League structure. An outline of these subcommittees follows:

1. Speakers committee:
 - a. make appointments with potential speakers,
 - b. conduct interviews,
 - c. write follow-up letters after interviews to give speakers specifics on conference (when, where, time),
 - d. get resumes from each speaker and prepare short biographical sketch of each speaker,
 - e. write a thank-you letter to each speaker after conference, and
 - f. greet and escort speakers at the conference.
2. Arrangements committee:
 - a. secure location,
 - b. make arrangements regarding physical set-up (including all equipment),
 - c. make arrangements for food, etc., and
 - d. provide place cards for each speaker.
3. Invitations committee:
 - a. prepare invitations and envelopes,
 - b. develop mailing list,
 - c. handle mailing, and
 - d. tabulate preregistration.
4. Public relations committee:
 - a. obtain news release possibilities,
 - b. write news releases, and
 - c. prepare information packet/brochure of conference.
5. Facilitation committee:
 - a. prepare mailings to secure conference facilitators,
 - b. coordinate and assign facilitators,
 - c. coordinate conference registration, and
 - d. hand out information packets at conference.
6. Evaluation committee:
 - a. develop evaluation questionnaire for conference participants,
 - b. hand out questionnaire at conference, and
 - c. tabulate responses.

This committee structure resembles the traditional structure for organizing work. The chair-

person of the conference committee would oversee and coordinate all the subcommittees, and appoint subcommittee chairpersons to get the job done. However, since there would probably be committee tasks which would overlap, cooperation and sharing of responsibilities among the committees would be needed. For instance, the public relations committee would prepare the information packet that the facilitation committee would be responsible for handing out. The public relations committee would have to depend on all the other committees for input regarding the progress of the conference so that it, in turn, could keep the press informed. The invitations committee would have to work closely with the arrangements and facilitation committees so that all would be aware of the number of people attending the conference and make arrangements accordingly. The evaluation committee would have to work closely with all the other committees in order to formulate its evaluation questionnaire. Even though the workers would perform their tasks within a traditional structure as described, the result of the overlapping might well be a type of hybrid structure where many of the tasks were interrelated and shared.

Some of the problems which the conference committee faced might have been better handled by the committee structure suggested by the conference chairperson. For instance, the committee had a difficult time obtaining resumes from many of the speakers, a problem that might have been eliminated if a speaker's committee had been responsible for sending out a form to be filled in by each speaker and then did the follow-up. The existing structure worked very well as far as obtaining the support and assistance of local professionals and officials. The conference committee was very successful in getting people to attend, in getting people to work at the conference, and in getting speakers. Perhaps the reason for this is that the co-chairpersons recognized early the advantages of having the county commissions directly involved in the project and soliciting support for the conference. A highly structured and impersonal committee system might not have worked as well in this area as the personal approach used by the conference co-chairpersons. However, it should be emphasized that this personal approach requires a tremendous amount of energy and time on the part of a few people, which could be a problem if these resources are not available.

SECTION V

COMMUNICATIONS: A CONTINUING CONCERN

Chapter 15 Community Involvement

Chapter 16 Public Relations

Chapter 17 Advocacy

Case Study The Junior League of Champaign-Urbana Collaborates on Opinions

Case Study The Junior League of Bridgeport Involves the Community in a Survey of Youth Services

Case Study The Junior League of Buffalo Persists and Overcomes Obstacles

Case Study The Junior League of El Paso Advocates A Youth Services Bureau

Chapter 15

Community Involvement

Other chapters have presented alternatives that you may or may not pursue, depending on your circumstances. One alternative that you do not have is whether or not to communicate with and involve others. We can never not communicate. No matter what you do or how you do it — even if you are silent — you will always make some type of impression on your members and on various segments of the community. The question is whether the impressions you make will benefit your organization and chosen project or hurt them.

Communication is not separate from other project-development activities. Rather, it is an integral part of each of them, as discussed in the chapters addressed to those activities. Yet communication is so crucial that a separate chapter seems necessary to emphasize what you may obtain from effectively communicating with other groups. A major communication tool, public relations, is discussed in the following chapter. Advocacy, a form of persuasive communication, is discussed in Chapter 17.

Communication is involvement; when you communicate your purpose, plans, and needs to others, you are involving them. There are two basic types of communication: internal and external.

Internal communication is concerned with obtaining and sharing information and opinions with your members and with members of cooperating groups. It is the process by which you involve members in making decisions affecting your criminal justice activities, thereby strengthening their commitment and, consequently, your chances of success. Internal communication techniques are not specifically addressed in this chapter but are discussed in Chapter 13.

External communication is the process by which you involve the community in your work. It includes:

- obtaining input from your clients or the beneficiaries of your activities, as well as sharing information with them;
- influencing Jane and John Doe citizens, the power structure, public officials, and other organizations or groups for the purpose of obtaining support (information, volunteers, money, materials, power, etc.);

- avoiding obstacles and opposition, and defusing the opposition that cannot be avoided;
- keeping the broader community informed of your activities and achievements; and
- expressing support for others, when appropriate, and appreciation for services or support rendered your group by others.

In general, the more people who feel that they have a stake in your activities, the more successful you will be.

Why It Is So Important

The criminal justice system and citizen efforts to improve it are inextricably dependent upon political decision making.

Political decisions determine the course and extent of law, the relative priorities within the law, the formal definitions of deviance from the law, the alternatives for disposition of deviants, and the resources of all types that will be brought to bear upon the problem. In fact, whether or not criminal acts *are* a problem is primarily a political decision.¹

Services and the location of services provided to troubled youth, offenders, and the victims of crime are politically determined. Whether to build, expand, or close correctional institutions is a political decision. Community-based programs, particularly neighborhood group homes, are established or vetoed according to the political clout of nearby residents. The activities — and frequently the appointment — of criminal justice officials (e.g. police, judges, correctional workers, probation officers, parole boards) are politically influenced.

Your criminal justice involvement, regardless of whether it is direct or indirect service, will succeed or fail depending upon whether or not you take into account the politics of your community. It may be difficult to gain and maintain political support for your program, to avoid and overcome opposition to it, to recruit the necessary community support, or, even in the best of circumstances, to compete for scarce resources. To do so you must communicate

extensively in order to understand the community power structure as well as the criminal justice system.

As the National Council of YMCAs so aptly put it in regard to its own chapters,

Therefore, any YMCA seriously involved in juvenile justice programming is involved in political activities whether it likes it or not. The only real question is whether a local YMCA will seek to develop the active support of the public and enough influential political practitioners to insure that the interests of its programs and clients will be protected, or whether it will be content to take a passive role and accept whatever fates the political winds blow its way.²

Political involvement means a great deal more than just seeking the support of elected officials. Such individuals, as representatives of

their constituents, follow the public's lead. If large numbers of the community support or oppose an activity, it is likely that the astute official will too. The implication is clear: you must attempt to influence the political process directly by working with elected officials, and indirectly by obtaining the support of community residents. There is only one way to do either: communication that leads to involvement.

The following two sections will summarize the assistance that can be obtained and the opposition that can be avoided through communicating with others.

Obtaining Assistance

The rationale behind communicating with and involving community members and groups during each stage of your program, from needs assessment through evaluation, is as follows:

<i>Program Phase</i>	<i>Rationale For Obtaining Assistance</i>
Needs Assessment	To obtain both facts and figures on the nature and extent of criminal justice problems, and opinions and ideas of those involved with these problems. It is through knowing the people in it that you can really learn the criminal justice system.
Goal Formulation	To gain support for your program by involving others in setting goals at the program's formative stage. This does not preclude your leadership in establishing innovative or controversial goals, but may require considerable tact and persuasion on your part to convince others that such goals are legitimate.
Program Development	To learn from the experience of others.
Resource Development	To not only obtain the assistance of those who can contribute money or help get funding from other sources, but to discover how to utilize community facilities and existing services. The Junior League of Buffalo developed an institutional project based on bringing representatives from existing community services and businesses into the institution to work with the female offenders. Thus, through resource development you may even offer a "new" service by coordinating existing services, or you might develop a program depending on referrals to other community services and agencies. Planning for, coordinating, and following up on referrals to existing services is an important tool for improving service delivery and conserving scarce resources.
Project Implementation	To carry out your program.

Project Sponsorship

To increase your muscle by aligning one or more cosponsors for your desired project or by building it into existing agency structures; and to pave the way for future sponsorship of the project by another group. The Junior League of Omaha, for example, in selecting the advisory board for its juvenile referral program included representatives of community programs which had the potential to eventually take over the project after the League. It paid off. A relationship was established which enabled an orderly transfer of program responsibilities. Cosponsorship with other groups is an effective way to formalize communications and to expand your support base.

Evaluation

To assess the merits and outcomes of your involvement. Without communicating with others this would be impossible.

The support that you request from individuals, groups, and organizations in your community can be as varied as they are. They can be involved as project consultants, funders, and doers. They may be engaged to meet specific needs on an ad hoc basis, or they may be involved in an ongoing capacity. Almost everyone has something to contribute. The time you spend isolating what is needed, who has it, and how to get it — along with the finesse you use in going after it — will determine the success of your program.

Avoiding Obstacles

Effective communication is essential to obtaining support and assistance, but you must also be prepared to deal with resistance, opposition, criticism, and downright hostility. Only through communication can you avoid such obstacles and neutralize any opposition that cannot be avoided.

There are three major sources of opposition to voluntary efforts:

1. Institutional and agency resistance to change. Criminal justice and other community programs are established to meet certain community needs. These programs may become ends within themselves for staff who see the unthreatened continuity of "their" programs as essential. Many institutional officials and staff may then resist changes and ideas suggested by outsiders because of:
 - the implication that they are failing;
 - their fear of the unknown;
 - vested personal interests; or
 - mistrust and lack of confidence in you,

the outsider. They may distrust you because of your inexperience in dealing with the multiple problems facing the agency and your lack of recognition of the complexities involved. They, after all, are the experts. Such resistance is sometimes appropriate because neither all changes nor all new programs are worthwhile.

2. Professional and staff insecurities. Many professionals feel threatened by the prospect of working with volunteers for the following reasons:
 - they may lack background and training for working with nonpaid, citizen groups;
 - they may not know how to train volunteers;
 - many volunteers have more real-world information and relevant skills than do the professionals and other staff;
 - volunteers frequently develop closer relationships and better communication with client groups because the volunteers may come from the same groups as do the clients;
 - volunteers are becoming increasingly assertive in terms of their expectations for their involvement; and
 - professionals and line staff sometimes fear that volunteers will make their positions unnecessary, resulting in the loss of their own or other salaried jobs.
3. General misconceptions and prejudices against volunteers. Traditional agencies sometimes attribute their unwillingness to work with volunteers to such misconceptions and generalizations as these:

- volunteers are not committed and are motivated by unmet personal needs rather than the needs of clients;
- too much professional time is consumed in supervising volunteers;
- volunteers are not dependable, since they aren't getting paid; and
- volunteers can't be trusted to handle confidential information.

Such opposition is not always unjustified. Unfortunately, both individuals and groups have mistakenly jumped unprepared into problem areas, wasted valuable resources, made a mess, and then gone back to painting ceramics for the Christmas bazaar. If you cover the bases, developing your program proposal in an orderly, informed manner as outlined in this handbook, then official opposition should be viewed as an unpleasant obstacle with which you must reckon when, in fact, you should be receiving support and praise for your efforts.

Most barriers will be avoided by good planning and effective, ongoing dialogue with involved parties. Yet, in some circumstances, straightforward communication and demonstration of your sincerity will not be sufficient to overcome the vested interests and conflicting values or priorities of other groups. Since resistance and conflict are likely in systems-change efforts, in which you attempt to change the distribution of power and to re-order the roles or relationships between community agencies, persuasive communication techniques for handling opposition are presented in Chapter 17 on advocacy.

A last caveat: one frequent mistake is to assume that the support of institutional leaders assures the cooperation of their subordinates. This is not always the case. It is the operating and line staff who are the most likely to misconceive and mistrust your involvement. If they are not included in the communications and negotiations, they can pose many roadblocks. Many institutional leaders do not involve their staff in making decisions. When you are planning an activity dependent on staff cooperation, encourage their leaders to involve them in the planning process. Then meet with them to get their input and to discuss their concerns about the project.

Who Might Be Included

Generally, you will want to communicate and cooperate with as many people and organizations as possible. The type of criminal justice involvement that you select will be the key to the

specific groups to include. Communication strategies must be focused on the particular groups and individuals involved. You must try to talk their language.

Almost any project can benefit from a well-planned diagnosis and involvement of the community power structure. Following a discussion of power structures, a brief description of various types of organizations and groups that you may wish to involve will be presented.

Community Power Structure

Power is the possession of sufficient authority, influence, or control over others to be able to achieve desired ends even in the face of opposition. Community power structure refers to the relatively small group of individuals in any given community who make decisions affecting the lives of a large number of community residents.

Although you may prefer to think in terms of participatory democracy and pluralism in the allocation of resources, prudence dictates that you involve the power structure. The power structure controls the resources essential to successful involvement in the criminal justice system.

The components of power include money, knowledge and information, experience, diagnostic skill, charisma, and persuasion. To the extent that you or your group possess, or has access to those who hold these qualities, you are powerful — a force to be reckoned with, not to be taken lightly. If you are not presently a powerful group, then you will need to develop those components of power easily within your grasp (information and diagnostic skill for informed awareness and decision making) and to identify the community power structures and attempt to "borrow" some of their power. Oh yes, there is one additional source of power which is yours if you want it: persistence. It will work wonders in acquiring other resources.

In all likelihood, your community does not have a pyramidal power structure wherein ultimate authority over all decisions affecting the community is centered at the top. Rather, there will be several power structures exerting influence in different areas of interest. You may be so well acquainted with your community that you can tick off members of the local power structure one after another. If not, there are four widely used methods for locating leaders:³

1. Identify those with positions of formal authority in major community organizations, that is, the titular heads of large businesses and corporations, government

organizations, the professions, education, labor, religion, and communications. Although these people may be influential, you don't want to underestimate the influence of those who do not hold official positions. The formal leaders' primary roles may be to provide prestige or to legitimize decisions made by others.

2. Determine the activists or participants engaged in a wide range of civic and voluntary activities. Identify those persons with active membership in many community organizations — service, business, professional, social, cultural, religious, political, or union. By sheer commitment, these people help determine how community resources will be divided.
3. Find out who has a reputation for leadership. Ask positional leaders and other community representatives whom they consider to be the real community leaders, (the decision makers). There likely will be considerable overlap between reputed leaders and positional leaders, neither of which necessarily relates to active participation in decisions affecting the community.
4. Identify those who in the past have actively participated in making decisions on important issues affecting the community. It may be difficult to determine who these people are because frequently they have a low public profile and do not hold elective or high-level appointive positions. They frequently hold governmental jobs or are subordinates of the positional leaders in other organizations. Yet they wield considerable power because of the extensive role of governmental agencies, the status or wealth of their employees, or their own expertise. If you can identify the organizations that are credited with a major role in decisions related to your interests, then you might get to these decision makers through their superiors, who are more easily identified.

The power structures, particularly those involving elected officials, are much more accessible than we sometimes think. If you want to involve members of the power structure who have jurisdiction over your proposed activities, it is typically best to do so from the very beginning so that they won't feel you are trying to usurp their power. After initial contacts, you will want to build their interest and commitment with followup "check-ins" and feedback on your activities. Working through coalitions or in conjunction with diverse groups will help you to

get their support. Frequently, if members of the power structure can't give you public support, they will provide covert assistance. When approaching members of the power structure, be precise about what you want from them as they have had a wealth of experience in detecting hidden agendas.

In some communities, concerned business and professional people meet informally on a scheduled (weekly, biweekly, or monthly) basis to exchange information on community problems, opportunities, and services. These groups may focus on specific problem areas — economic development, schools, environment, delinquency, or, less frequently, criminal justice — or they may be concerned with the overall well-being of the community. Frequently these get-togethers are very casual and can be attended by any concerned citizen or representative of concerned organizations or groups. (They are generally attended by regulars who are men, but that does not have to be the case.) Attending meetings centered on some aspect of criminal justice or the community welfare could provide valuable information on matters related to programs, funding, and politics in general. It is even more essential to attend these meetings if they are attended by members of the power structures. Send your most knowledgeable, reliable representative, someone who will speak prudently, since presuming to know all the answers can discredit you quickly.

If the meetings are by membership or if it is inappropriate for you to attend, try to cultivate one or more of the attendees. These and other community people in the know may exchange (or just share) important information with you on an individual, informal basis.

Organizations and Groups

A descriptive listing of different types of organizations and groups along with some ways to work with them is presented below.⁴ Members of the community power structure can be located in many of these groups.

When an organization provides you with the assistance that you request, generally they are aware of receiving something in return. Community service, in terms of donated space, manpower, materials, and money, is good for any organization's public relations. If your project is publicized, it will probably be easier to gain support. One way that you can return the assistance provided by others is by keeping them informed about the progress of the project. You will be providing them valuable and useful information about their community and access

to public opinion. By involving certain groups (universities, nonprofit service organizations, religious groups, etc.), you are providing them with a positive outlet for their volunteers and with experience and training for their members.

The Business Community

Because of their concern for community improvement and good public relations, many businesses and their employees are willing to participate in voluntary service activities. Large corporations may have a community relations or external affairs department to coordinate their public service activities. Some businesses give executives and other employees leaves of absence to participate in community service activities, while others encourage staff to contribute some of their own time to such activities.

Businesses may contribute technical assistance on budgeting, accounting procedures, management practices, and public relations. They may donate space or provide refreshments, supplies, and other materials needed for a project. They can provide research or information on issues affecting them that are also of interest to you. And, of course, they may contribute money. When approaching members of the business community, be businesslike by having worked out cost and time estimates and other plans in advance of your meeting. Written proposals may make a favorable impression.

Government Agencies and Officials

Government agencies are valuable sources of information on many topics. They can provide technical specialists to help plan and evaluate the project; background information on current issues or government programs, along with other research data and information; link-up of government and neighborhood information services; speakers and resource experts for meetings; and funding for certain projects. Do not hesitate to approach government agencies. Not only are they supported by your tax money, but frequently they are mandated by statute to involve citizen groups in planning and implementing programs.

Labor Unions

Many unions are vigorously involved in community service activities and strongly support social welfare and reform legislation. Local or statewide unions might work with your group by providing volunteers, funds, assistance in developing coalitions to campaign or lobby for mutual concerns, information on

existing neighborhood coalitions, and research assistance. To find out what unions exist in your community, check the largest employers to determine if their workers are unionized. Union membership is no longer restricted to manual laborers but includes professionals such as teachers, police, fire workers, and other government workers.

Minority Groups

If the clientele of your proposed project or activity is composed significantly of members of ethnic minorities, it is imperative that you involve minority spokespersons and representatives in the planning and implementation of the project. Give special attention to the media reaching the most target minority groups when planning public relations activities.

Professional Associations or Societies

Professional associations are becoming increasingly involved in community action. They may contribute volunteer support, space and material, information and research capabilities, and publicity for your programs. Examples of such professional associations include the American Association of University Women, Public Relations Society of America, Women in Communication, and the Society of Professional Journalists.

Religious Organizations

Religious institutions and groups (particularly their leaders) are becoming increasingly involved in civic affairs. Churches and interdenominational coalitions may provide space and materials, volunteers, information on community problems, and dissemination of information about your project. They can also link you with other community or neighborhood networks. Local ministers and priests can be valuable intermediaries between you and other groups and organizations because many people find it very difficult to refuse a request from them.

Colleges and Universities

Students, teachers, administrators, and staff of nearby colleges and universities are invaluable resources. If participation in your project can qualify as an educational experience, students, under the supervision of their instructors, may help as part of their course work. Journalism classes can help with your public relations program; sociology, marketing, and political science classes can help with questionnaires,

surveys, and monitoring governmental agencies; art or film classes can help make slide shows or other media presentations; and mathematics and statistics classes can help develop computer programs for your data analysis. The Junior League of Shreveport used an interior design class to develop designs and assist with remodeling and decorating rooms for a group home. Students may also help through extracurricular organizations such as sororities, fraternities, or student government associations. Universities and colleges can contribute research skills, volunteer support, space and materials, participation in coalitions, technical assistance, and computer access. Many universities and colleges have public service programs or departments to provide assistance to community groups. If you are unsure of whom to contact, begin with the chief administrative officer who should be able to direct you to the right people.

Senior Citizens Groups

Approximately 10 percent of the nation's population is over the age of sixty-five. Either individually or in groups, retired citizens can share their incomparable resource of experience. Churches, local government recreation departments, apartment house managements, or other community organizations frequently sponsor senior citizen groups.

Youth and Student Groups

Because of their zest and a lack of cynicism about the possibility of improving society, young people can be a valuable resource. You can recruit them through school or youth organizations such as scout troops. Do not underestimate their abilities when working with youth. Include them in decision making related to the activities with which they will be involved. Youth can be a valuable source of information on how proposed programs will be received by fellow youth and the counter-culture.

Service and Civic Organizations

Other voluntary groups can provide fund raising skills and technical assistance in marketing, public relations, management, and training; knowledge of the community and information and research assistance on community issues; development and administration of volunteer programs; and volunteer support. Examples of such groups include the League of Women Voters, Junior League, Kiwanis, Lions,

Jaycees, Chamber of Commerce, Federation of Women's Clubs, National Council of Jewish Women, B'nai B'rith, etc. These groups may enter into coalitions with you or cosponsor a project with you. Many organizations have auxiliaries which might also be involved with your work.

Neighborhood Associations

In many communities, residents in subdivisions or distinguishable sections of the community have banded together into neighborhood associations to safeguard the development and promote the welfare of their neighborhoods. Such associations can contribute information on the history, patterns, and feelings of a neighborhood; assistance in identifying the needs and issues of their neighborhood; and volunteers. They may also be a good source for publicizing your activities.

Nonprofit Service Organizations

Nonprofit service organizations such as Help and Welfare Councils, United Way Agencies, YWCAs, and YMCAs are vitally involved in activities to improve their communities and assist residents. They may contribute access to potential clients or users of your program, linkage between services and information networks, help in disseminating information, cooperation on research and surveys, and information on human service problems.

Media

The media are discussed in detail in Chapter 16 on public relations. In brief, they may contribute information on the community, people, and issues; assistance in establishing community dialogue; publicity for your activities; and efforts to rally public support.

Legislators and Elected Officials

Elected officials are an important source of information and an important tie into the local power structure. They may contribute information on upcoming or pending legislation, assistance in obtaining information on programs or grant monies available to the community, staff assistance in identifying the issues, and intervention in your behalf when requesting assistance or applying for funds from governmental programs.

Client Groups

Through communicating with potential beneficiaries or clients, you may learn how they see themselves and their problems, and what services and changes they feel are most needed for them to reenter the main stream.

Military Bases

Many military installations have community programs that are eager to support and participate in services that will benefit military personnel and their families.

General Guidelines for Involving Other Groups

Involving others in your activities may be the key to obtaining needed resources and, thus, to success, but it also consumes one of your most valuable resources: your own time. The old adage that it takes money to get money is definitely true in the more general sense: it takes resources to obtain additional resources.

A systematic, well-conceived plan — whom to involve, why to involve them, and how to involve them — is essential to successful community relations. You will want to look at the time needed to plan and coordinate the involvement of others in relation to the expected payoffs from such involvement. Although broad-based participation is a democratic ideal, unless your goal is increased community participation in decisions affecting criminal justice, you must pursue community involvement only to the extent that it contributes to goal achievement.

The more informed you are when approaching others for their help, the better your chances are of involving them. Busy people have little patience with those who approach them for assistance but don't know why or how they want them to help. A thorough need assessment will enable you to communicate intelligently.

Neutrality and objectivity can be big trump cards for involving other groups. When you approach others, don't pretend to have all the answers and don't seem to have an ideological bent — either bleeding heart or law-and-order. Rather, approach people with the philosophy that your group wants to help, and that you are interested only in solutions that will work. Many of the people you might approach are so accustomed to dealing with groups having vested interests that they should welcome the

opportunity to assist a truly unbiased, civic-minded organization.

Although Chapter 17 on advocacy emphasizes system change, in the more generic sense advocacy can be considered as an attempt to persuade others to support you either by volunteering their time or by changing policies and practices under their control. Thus the guidelines presented in the chapter on advocacy are applicable to involving other community groups in your work as discussed in this chapter. Community advisory boards (see Chapter 12) and public relations (see Chapter 16) are important communication and involvement strategies. Another effective tool for enhancing community relations is information exchange meetings.

If there are no criminal justice informational meetings in your community, try to get them established. Information exchange between service components is essential to coordination of services, preventing unnecessary duplication and wasting resources, and good working relationships, i.e., a rational system with effective services. Getting a group like this going is so important that it could be a major project.

An in-house twist is to have different members attend informational, advisory board, and public decision-making meetings. After seeing how political many decisions affecting programs and funds were, members of the Junior League of El Paso formed a citizen's information team to attend community advisory and decision-making board meetings, and to exchange information among themselves on what decisions were made and how they were made. The head of the team sent a letter to the various boards telling them that the League wanted to send representatives to their board meetings as sort of an internal information and training device, and requested permission to do so. They also asked at the meetings if they could be placed on the mailing lists to receive agendas and other information. What they first learned was that many of the boards were ineffective, and their meetings poorly attended. As time went by, they saw some of the boards become more dynamic and effective perhaps because of their attendance and participation.

After about a year, League members were appointed to the Community Development Act Committee, Retired Citizens Volunteer Program Board, Citizens Advisory Council to the Juvenile Court, the Human Resources Subcommittee and the Revenues Committee of the Council of Governments, the Youth Services Advisory Board, and the Advisory Board to the Youth

Detention Facility. Sometimes they were appointed to these boards or subcommittees because they were the most persistent attendees

at the meetings. By becoming informed, the League had forced public officials and agencies to be more accountable.

NOTES

1. R. C. Trojanowicz, J. M. Trojanowicz, and F. M. Moss, *Community Based Crime Prevention* (Pacific Palisades, Calif.: Goodyear, 1975) Ch. 5, p. 37.

2. *Planning for Juvenile Justice: A Manual for Local YMCA's*, p. 31. Prepared by Action Planning Associates, Inc., Consultant-Directors, National YMCA Juvenile Justice Project; Urban Action and Program Division, National Council of YMCAs, 291 Broadway, New York, N.Y., 10007. \$6.00

3. Linton C. Freeman, *et. al.*, "Locating Leaders in Local Communities: A Comparison of Some Alternative Approaches," *Leadership and Social Change*, W. R. Lassey and R. R. Fernandez, eds. (La Jolla, Calif.: University Associates, Inc., 1975).

4. This listing was adapted in part from: Susan A. Davis, ed., *Community Resource Centers, The Notebook* (Washington, D.C.: The National Self-Help Resource Center, 1976) and American Association of University Women, *Tool Catalog: Techniques and Strategies for Successful Action Programs* (Washington, D.C.: American Association of University Women, 1976), Ch. 54.

Chapter 16

Public Relations

What Can It Do for You?

The primary purpose of public relations is to develop community understanding and support of your program goals and activities. If the community does not know about your program, it cannot be expected to support your goal or activities. Other objectives might be:

- to recruit volunteer and staff workers,
- to secure contributions — funds, materials, facilities, etc.,
- to attract clients and consumers for your services,
- to build internal morale through public recognition of members' work,
- to publicize forthcoming events and activities and to attract the desired attendance,
- to establish credibility and to build public confidence in your organization,
- to inform the community of findings and recommendations,
- to secure legislative support for measures addressed by your group, and
- to correct misconceptions of your program.

While good public relations is crucial to the success of community programs, it cannot substitute for programmatic goals, objectives, and activities. There must be substance behind the messages communicated, or your group will soon be labeled "all talk and no work."

To keep activities in perspective, consider public relations as one of the steps needed to achieve a program objective. As discussed in Chapter 9, such program steps or subobjectives may become objectives for those assigned to accomplish them, but in terms of the total picture they are at all times subordinate to your main objectives.

Allocate your time and resources on the basis of the expected payoff. Will the expected result justify the effort? Over the long haul, hard work and success in your chosen area is the best and longest lasting public relations.

Who Is the Public?

Successful public relations is geared to specific audiences or target groups. You must determine whom you want to reach for each of your public relations activities. Every community

consists of many publics — adults and young people, church members, government personnel, industry and labor, majority and minority groups, men and women, conservatives and liberals, professionals and nonprofessionals, and others.

Different approaches appeal to different types of people. After deciding the audience you want to reach for a specific public relations campaign, develop a *news peg* relating your promotion to the interests of the audience you want to influence.

To develop a news peg, you must analyze the target audience by answering such questions as:

- How much can the target group be expected to already know about the program?
- What will they likely want to know? What do they want to hear? For example, if you are recruiting volunteers, will the target group respond more favorably to an emphasis on the need for citizen participation or an emphasis on your challenging volunteer jobs?
- What are the principal channels of communication within the groups — a weekly newspaper, one of the dailies, radio, television, billboards? Just determining which medium a group is most in contact is not always enough since, for example, you can't assume that a "radio group" listens to all stations and all programs.

Audiences consist of people who listen, watch, or read particular presentations or columns depending upon their interests and tastes. The broadcast media select programs, and newspaper departments prepare features with specific audiences in mind. Such targeting is based on surveys and ratings available to radio, television, and sometimes print professionals showing major audiences for different programs. Frequently, they will share these with you.

Tools, Methods, and Approaches

One of the most important public relations weapons is a well-informed membership and a properly involved volunteer corps. Your members and volunteers represent the community. If they are involved in making decisions and are offered meaningful work, they will become

ambassadors of good will for the program. Their word-of-mouth communication with family, friends, colleagues, and neighbors can be most effective. If they dislike their association with the program, they are likely to let others know that as well. Volunteers may also relate their experiences through letters to the editor, articles in various types of newsletters, and in any other public presentations they make.

There are people in every community with some combination of interest, experience, and training in public relations. Rather than attempting to master the art and science of public relations yourself, recruit volunteers to plan and largely carry out your publicity program. They may be included on an advisory board or committee, or used as individual project consultants. They are not difficult to find:

- Check with business executives (particularly those on your board) to see if their companies' public relations departments or staff will help.
- If there is a nearby college, talk with the faculty of public relations, advertising, and mass communication classes in journalism. The faculty or students may either help as individuals or take on your entire public relations program as a class project.
- The public relations workers of other voluntary associations — United Fund, Junior League, etc. — may give you a hand and suggest others who will help.

The resource chapter includes a list of public relations experts who consult with public service groups on a voluntary basis.

If you establish a public relations committee, include at least one person who is very familiar and involved with your programmatic activities. It is essential to be clear as to what you want to "sell" — information, public concern, need for assistance, or simply recognition of past accomplishments. To interpret your goals and activities effectively to the community, your public relations committee must fully understand them. A thorough initial and ongoing orientation to your work is essential. You may also want to establish guidelines on the clearance of publicity statements or activities before they are activated.

Honesty must be a basic creed for your public relations program. It does no good to mislead the public, for you are sure to be caught. Members of the media are much more likely to support and help you if they feel that you are being honest with them.

A few basic guides or tools for planning and conducting a public relations program are:

- Develop background files or folders on your

organization and project. Include a summary of your mission, goals, and objectives; the name and phone number of a contact person; and possibly a list of your members, their addresses, and phone numbers. Members of the media can use this information for orientation and as part of the background for any feature stories done on your project.

- A brochure or simply a mimeographed flyer describing your program can be very useful when making contacts and building support. It helps to have something to give people when you are first introducing yourself and the project to them.
- Keep a scrapbook of releases and publicity on the project, including newspaper clippings and your own notes of radio and television publicity and any other media used. Besides future nostalgia, having ready references to past publicity can help you to avoid monotony in your ongoing public relations program.
- Time your publicity campaign to meet your needs — for added volunteers, funds, etc. You must anticipate needs, which may be seasonal or in terms of a progression, far enough in advance to prepare a good public relations campaign. A detailed schedule in your action plan can be an invaluable aid with your public relations program.
- Relate your program and public relations activities to scheduled community events. If there is a conference on criminal justice or volunteers, get on the agenda. If there is a fair, set up a booth. If a notable official is appearing locally, try to get him to address your group or to provide an endorsement. The more you can tie into the interests and activities of other groups, the better.
- Alert members and supporters when you expect press coverage or other public relations events so they can be part of the audience. Your workers rightly want to be in the know and not learn about their own organization from second-hand sources. Advise them of newsworthy activities before they are publicized.
- Send clippings and summaries of other public relations activities to the people mentioned in them. Seeing that their activities are attracting attention can be inspirational.
- Don't take credit for everything you do. Giving credit to others (even those who don't deserve it) will help to get them on your team. The important people will probably already know who actually has done what.

- Always thank the media for their coverage of your project's activities. Sending copies of thank-you letters to the person's supervisor can enhance future media relations. You might write a thank-you letter for publication in the "Letters to the Editors" column.

In the following pages three types of formal public relations will be discussed: direct appeals, indirect appeals, and special appeals.

Direct Appeals

Direct or person-to-person appeals are the most effective public relations approach. They supply the personal touch, to which most of us respond. The most important characteristic of direct appeals is that they can be geared specifically to the listener, providing an opportunity for asking and answering questions. Direct appeals may be made to both individuals and groups.

Any time you can identify particular persons or groups whose support is valuable, you should contact them directly and not rely on reaching them through mass media appeals. The superiority of direct appeals in recruiting volunteers, securing funds and materials, and obtaining information and support from others is well documented.

Members and volunteers who make direct appeals for you must know the specifics of your program: the range of services offered, background information on client groups, specific volunteer opportunities, procedures for orienting, training, evaluating volunteers, etc. It also helps if they know something about the people they are recruiting or if they have the same background or makeup.

It is imperative to know something about the makeup of the group when planning your presentation because what appeals to one group can turn off another one. An opportunity for questions and answers is usually appropriate. Enhance group presentations by including a client on the program, a panel of volunteer workers, slides or film strips, and/or handouts or brochures. Distribute sign-up sheets or application forms after the presentation. You should promptly contact (either by phone, letter, or a personal visit) those who indicate an interest in working with you.

The following are situations where you might make direct appeals to groups:

- meetings of the city council or county commissioners;

- meetings and conferences sponsored by your group;
- employee meetings of governmental agencies, business corporations, and industries;
- labor union meetings;
- coffee hours or informal socials held in the homes of active volunteers;
- neighborhood association meetings; and
- PTA meetings.

Many groups have developed *speakers bureaus* to make group appeals on a systematic basis. A speakers bureau may either be used as part of your public relations program, or it can be your criminal justice project if your purpose is to inform the community on the criminal justice system or to recruit volunteers for placement in other programs. Appendix I to this chapter presents detailed outlines of how to prepare and give talks, and how to operate a speakers bureau.

Indirect Appeals

Indirect appeals are those public relations or publicity techniques which are typically based on the one-way communication provided by various media. Sources include newspapers, radio, television, newsletters, other printed materials, mailings, billboards, posters, bulletin boards, slides, and audio-visual materials. The advantage of indirect appeals is that you can present your message quickly to many people. This is not to say, however, that you are necessarily "reaching" more people, as many people respond only to direct appeals. Yet, successful political candidates, merchants, and other businesses depend heavily on indirect appeals for promotion of their products.

The Mass Media

A first step in planning an indirect appeals program in the mass media is to get the cooperation of editors, reporters, broadcasters, and public service program managers from local newspapers, and radio and television stations through personal contacts. Make direct appeals to the gatekeepers for indirect appeals. Most leaders in the mass media are anxious to promote public service programs, and the Federal Communication Commission requires the broadcast media to devote a percentage of their time to public service programming. People banding together voluntarily to try to improve their criminal justice system, which is in itself the cause of so much bad news, is good

news and may appeal to the media. Communicate your philosophy by explaining your program and how you are trying to improve the community. Be open about the barriers to your work and the frustrations you have encountered in developing support for this worthwhile endeavor.

Call the media representatives and make appointments to discuss your project before you are ready for publicity. You might invite them to a meeting or out for a cup of coffee. Give them a copy of your background folder. If you have a brochure or any good printed material, include that in the folder.

Media people are very busy. Therefore, make a *very brief* visit with a concise, well-prepared presentation. With large dailies, you may not be able to see the editors; in this case make your presentation over the phone and follow up with a letter. For the larger papers, don't restrict your dealings to one person, but get to know the city editor or managing editor, the editorial page editor, and reporters on the beat. Knowing the publisher or top station executives might help you make initial contact with the reporters and editors. However, once a relationship is established with a reporter or editor, going over his head to get a story in or keep one out will likely hurt your future contacts with the media.

When meeting with media representatives, ask what you can do to insure the best coverage of your project. Indicate your willingness to cooperate with their procedures. You might even ask some of the media people to assist you in planning the public relations program for the project or to serve on an advisory board or committee.

Compile a list of media, writers, and broadcasters in your community. The list should include names, addresses, and phone numbers of key reporters, broadcasters, and editors for each of the newspapers and radio and television stations serving your community. As you meet with representatives of these media, make notations about their receptivity and any special instructions that they give you. Many companies and large organizations maintain such media contact lists, and they may share these with you. Your local chapter of the Public Relations Society of America may also have such a listing. Depending on how extensively you utilize the mass media, update your contact list every three to six months.

Newspapers

The daily papers are important media sources reaching large numbers of people. There are

other papers, however, with more focused audiences, and these may be very important in your attempts to reach specific groups. These special publications are smaller and thus more closely geared to the reader's interests. They may also be easier to use than the larger media outlets since smaller papers are usually hungry for news of interest. Such publications include the following:

- Weekly newspapers which depend more on local news than national or international news. They typically consider themselves an integral part of the local community and depend on hometown folks to provide the bulk of the news they publish. Since they are smaller and more manageable, many people who only skim the dailies read these from cover to cover.
- Employee publications which are put out by major industries, universities, governmental agencies, and other organizations for employees and their families. With those, you can peg your publicity to the interests of the particular groups covered.
- Neighborhood newspapers which are of particular significance when trying to reach or mobilize the residents in particular areas.
- Ethnic newspapers which can be a big bonus when you are trying to involve minority groups.
- College and high school newspapers which can help in your bid for students, faculty, and staff.
- Throwaway shopper news which are provided free by participating merchants. Distributed at retail outlets, through the mail, or delivered door to door, these papers frequently include television guides, community calendars, and news columns of interest to the average shopper in addition to advertisements.
- Local magazines which may carry feature stories of your project.

Your coverage in newspapers may be in the form of press or news releases, feature stories, editorials, special columns, letters to the editor, advertisements, or Sunday section specials.

Editorials are considered by many to be the most influential section of the newspaper. Don't be bashful; ask the editor for editorial support. An editorial would typically follow, not precede, other forms of publicity in the paper. Submitting a news release may be a good occasion to suggest an editorial. You might send the editor a copy of the release along with a cover letter explaining why you feel an editorial would be appropriate. You might even include an outline

of what could be covered in the editorial, but since editorials are the editors' pride and joy, expect that they will want to write their own. The editor may decline giving editorial support, but offer you the opportunity for an op-ed column which a member of your organization or a friend having a way with words can write.

Letters to the Editor can be used to solicit support, explain your program, and to thank the paper and/or public for past support.

Women's pages (feature/homeliving/society/decorating/etc. sections) have in the past been the primary source of news on voluntary and club activities. At one point, most volunteers were white, middle-class women, and it was assumed that their activities were only of interest to other white, middle-class women who read the women's pages. Today all types of people are volunteers, and all types of people read women's pages. Although many volunteer-activists urge volunteers to get coverage of their activities off the women's pages and into the news pages, for some purposes the women's pages may be quite appropriate.

The decision of where your news will be placed is the managing editor's. You can greatly influence this decision by sending your news releases or suggested stories to the editors (advertising, city, editorial, women's, sports) of the sections you consider most appropriate for any particular story. You will want to utilize different sections for different stories.

Advertising in newspapers can be effective. You may purchase advertisement space in the regular sections or in the classifieds. The National Center for Voluntary Action¹ reports that department stores, banks, and other businesses and organizations are frequently willing to gear their ads to volunteer themes. For example, a bank in Birmingham, Alabama, turned its advertising budget for one year over to the "Volunteer for Birmingham" theme, resulting in good publicity for the bank and the city's voluntary organizations. In other areas, local businesses have financed entire supplements on volunteerism.

News or Press Releases may be prepared by your organization and submitted to the appropriate editors or broadcasting managers. Some simple guidelines for preparing releases are:

1. The "lead" of the story should include the **who, what, when, where, why**, and, if possible, the **how** of the story in the first two or three sentences. Cover the details with each successive paragraph being of lesser importance. Forget about what the people wore and ate.

2. Use short words, short sentences, and short paragraphs.
3. Be brief. The maximum coverage that an editor will give to one story is about one or two double-spaced, typewritten pages. One double-spaced page equals about six inches of newspaper column. Omit most adjectives and unnecessary words like "the," "a," and "an." If you can't adequately cover a story in one to two pages, perhaps you should prepare two or more releases.
4. Stick to facts and be sure every point (dates, time, places, names) covered is accurate.
5. Type the release on regular 8½ × 11 inch white paper, double spaced, leaving 1½ inch margins on each side and a 3½ inch margin at the top of the first page.
6. Never submit carbons, but photocopies may be used.
7. Include your organization's name and your contact person's name, address and phone number in the upper left-hand corner of each page.
8. Type the release date, followed by the date the release is being mailed or delivered, in the upper right hand corner of each page. Put either "For Immediate Release" or "Release After (time/date)." Releases to be held by the editor for some time are more likely to get buried; therefore, it is definitely preferable to use "For Immediate Release" whenever possible. Many publicists date releases two or more days after the day it is being mailed to make up for time lost in the mail and in getting to the editor's desk.
9. Before submitting a release, carefully proofread it for factual, typographical, and grammatical errors. Then ask yourself — and possibly others — if it would be interesting and make sense to someone not already involved with the project.
10. If all's well, mail the release to the appropriate people. If possible, deliver it yourself.

Many newspapers have style sheets explaining how to prepare news releases. If you are not comfortable preparing a news release, you may prepare a simple fact outline for the editor or other staff to use in writing a release. The newspaper may have guides for fact outlines; essentially they are prepared with five marginal headings: who, what, when, where and why.

When your fact outlines or releases are used, study how the media changed them so you can improve your future releases (or at least more

closely approximate how the media want them).

What's newsworthy largely depends on the news outlet you plan to use and their clientele. A feature story in one paper may be more appropriate as a capsule in another. Some news items might be: initiation of your project; initiation and completion of the major stages of the project, for example, a community survey, institutional tours; outstanding speakers; resolutions on matters of public interest; unusual actions at meetings; benefits that require public support; various drives; member participation in local, state, or national conferences and events; reports issued; appointment of advisory board. Some community calendar columns will even publish routine meetings of your group or committees.

If you have difficulty deciding which news department of the larger outlets would be interested in your story, send the same release or story to several departments. Frequently you may want to send the same release to different outlets. In either case, always list at the top of the release who else will receive a copy.

Some additional tips for good media relations are:

- All media have deadlines for receiving releases and covering events. Find out what they are and stick to them. Don't ask for special treatment.
- The media may make mistakes in their coverage of your news. Avoid rebuttal letters and demands for an apology. Don't alienate editors over minor mistakes. Save your complaints for very serious, factual errors.
- Have one contact or spokesperson for the media who can make short-notice statements and decisions without going through a hierarchical maze.
- Don't call press conferences for mundane announcements or meetings. When you do call a press conference, prepare a statement ahead of time to give the press.
- Photographs can be very effective with news articles. Check with the individual newspapers to see what their practices are. Some papers will provide the photographer, and others will require you to supply the prints. If you are to supply the photographs, carefully follow the newspaper's directions on size, captioning, etc.

Radio and Television

The guidelines suggested for working with newspapers generally apply to radio and television programming as well. Always send copies of every news release or story on your

project to local television and radio station managers. The broadcast media are more oriented to the telephone than others, so call to make your initial introductions.

While television and radio stations are required by the Federal Communications Commission (FCC) to devote part of their broadcasting time to the public service announcements of voluntary and civic groups, competition for such time is keen.

Before contacting a station, study its programs that may be appropriate for your use. Local newscasts provide the most frequent opportunities for coverage. Others might include:

- public service spots,
- talk shows, and panel or group discussions,
- call-in programs,
- special interest programs,
- live or recorded interviews,
- music programs laced with local news, and
- community bulletin or town-crier format shows.

See if you and some of your public relations advisors can brainstorm some ideas of how to put your message across on some of these shows. You might think about:

- getting well-known local personalities (singers, athletes) to make presentations to attract teenagers,
- having clients make an appeal,
- asking popular disc jockeys to work your message into their program, and
- developing a radio "jingle" to popularize your project.

Ask local media and public relations professionals to advise you. Then develop contacts with local broadcasting personnel. The program director and news director normally coordinate public service time. You might also contact the interviewers, hosts, or producers of specific shows. For television programs, these people typically receive credits at the end of the show. Write down their names for future reference.

Commentators, announcers, disc jockeys, and entertainers sometimes "adopt" public service projects. If you can get a popular broadcaster to work with your project, he may be able to stir local enthusiasm as well as protect your interests by seeing that you get a share of public service time. These people could be appointed to advisory boards or committees.

Mailings and Handouts

Various types of printed materials may be prepared and used to recruit volunteers, educate and inform the public, keep members informed

of various activities (particularly if you have a large group working in many different directions), report your findings and recommendations, and seek contributions.

Newsletters or bulletins can serve many purposes. They can be a vehicle for meeting notices, background information, and recognition of volunteer services. They may be distributed to members, other volunteers, board members, business and government officials, and newspaper, television, and radio representatives. A very short newsletter published monthly or bimonthly is better than a long one every three or four months.

Brochures tell what your organization is about — what projects you sponsor, how the projects operate, and how to contact you. Brochures are useful for recruitment and for providing a concise overview of the project to prospective supporters, members of the media, and others. A brochure might be prepared in a manner to recruit potential clients.

Other — special mailings or letters, leaflets, flyers, bookmarks, pamphlets, and various types of reports may serve a useful purpose for your project.

You may distribute any of the printed materials discussed as handouts or by direct mail. Most printed material should include an application blank for the readers to complete and return to you for more information on the project or to offer their services. Follow up such returns promptly.

Mailings can bring in impressive returns. For example, the Junior League of Shreveport, Louisiana, raised \$3,000 from the first mailing of a short pamphlet describing Rutherford House, a residential treatment facility for juvenile girls.

For maximum effectiveness, mailings should be personalized. If you cannot prepare individual letters, at least hand sign each one, and for key people write a short note at the bottom of the page. You may want to have personalized stationary printed with a logo and list of your officers or advisory board.

With the high costs of paper and postage, it is essential that you carefully plan and coordinate all mass mailings. Detailed guidelines on how to plan and prepare printed materials are presented as Appendix II to this chapter. Information on how to plan and coordinate mailings is presented as Appendix III.

Billboards, Posters, and Exhibits

Billboards. Outdoor advertising can be effective for recruiting certain types of volunteers or clients. For example, the Junior League

of El Paso has concluded that billboards situated at the El Paso/Juarez border are a most effective recruitment device for Chicanos.

Billboards should convey one idea, using few words, large lettering, and striking color. They should be strategically located in terms of traffic flow and neighborhoods where recruitment is particularly desired. The Outdoor Advertising Association of America, Inc. (OAAA, Inc.) contributes poster space across the United States for national voluntary organizations to publicize their national projects. Local groups may obtain local space by contacting the Outdoor Advertising Company serving their area. You would be required to purchase the paper. For further information, write OAAA, Inc., 485 Lexington Avenue, New York, N.Y., 10017 (212-986-5420).

Posters. You can prepare posters inexpensively in almost any size, shape, or form to announce meetings or special events, and to remind the public of your viewpoint, slogan, or organization. The peers of the groups you are trying to attract could word the posters — possibly in foreign languages.

Bulletin Boards. Posters may be placed on bulletin boards in various public locations. In addition, you may set up attractive bulletin board displays with information and material on your project in churches, laundromats, libraries, supermarkets, convenience markets, etc. These displays could include detachable post cards or tear-off telephone numbers for interested persons to use in contacting you. Volunteers, particularly young persons, could update such bulletin boards on a weekly or biweekly basis.

Special Appeals

A special appeal is a dramatized attempt to promote your project or volunteers, and should be related to an important occasion or purpose. For example, you could plan a special event to introduce the project, to initiate a fund or volunteer drive, to hold a testimonial dinner thanking volunteers and supporters, or to report on the completion of the project or one of its major stages. Other examples of special events are:

- anniversary and annual events,
- annual meetings and dinners,
- building dedications and ground-breaking ceremonies,
- citation awards and testimonial dinners,
- convocations prior to capital campaigns,

- open house tours,
- campaign opening events,
- award dinners,
- charity balls,
- fashion shows,
- exhibits,
- bazaars,
- volunteer fairs,
- theater benefits,
- proclamations,
- telethons,
- walkathons,
- polls, and
- recruitment booths.

Exhibits and fairs can be very effective special events. An exhibit may be used to visually display your project, volunteer opportunities, or a particular message. It may be portable and can be displayed at meetings, fairs, conventions, community centers, schools, and a variety of other events and places.

You might plan a fair and encourage other

community and governmental organizations working in your field to display exhibits related to a particular theme such as volunteer opportunities, services available for juveniles, the criminal justice process, etc. Such fairs may illustrate a problem and suggest solutions, or inform the community of the work and resources of the participating agencies. Detailed guidelines on how to prepare exhibits and how to coordinate fairs are presented as Appendix IV to this chapter.

An effective public relations program is ongoing. Although publicity for special events can be more creative and flashy, it will still consist of the various direct and indirect appeals discussed in the preceding sections. If you plan a special event, be sure to plan appropriate publicity for it. You may want to schedule your special events to insure press coverage. You should check with your media contacts to find out what days of the week are best for them — frequently Sunday is the best day.

Helpful Information Sources

The resource chapter includes a listing of organizations that can help you plan public relations programs. As noted previously, the public relations staff or departments at local universities, corporations, and other associations may be willing to provide assistance.

For additional readings on public relations, see:

Adams, Alexander B. *Apollo Handbook of Practical Public Relations*. New York: Apollo Editions, 1970.

This book covers all aspects of public relations including working with the different communications media and using direct mail, brochures, and speech making. It suggests potential sources of help, describes various types of reproduction and their appropriateness for different purposes, etc. 326 pages, available for \$2.65 from: Apollo Editions, 666 Fifth Avenue, New York, N.Y., 10019.

Bloomenthal, Howard. *Promoting Your Cause*. New York: Funk and Wagnalls, 1974.

This book describes how to set forth your objectives, determine who your audience is and how they perceive themselves, plan a campaign, provide motivation, use committees and meetings, and reach the mass media. 248 pages, available for \$3.50 from: Funk and Wagnalls, 666 Fifth Avenue, New York, N.Y., 10019.

Jackson, Kate W. *Telling Your Story*. Washington, D.C.: National Center for Voluntary Action, 1976.

This booklet provides a general introduction to communications and public relations for local, nonprofit voluntary organizations. Includes a description of the forms and uses of tools in print, broadcast, and audiovisual communications along with a "PR checklist" and "The Mechanics of a Press Conference." 22 pages, available free from: National Center for Voluntary Action, 1785 Massachusetts Avenue, N.W., Washington, D.C., 20036.

Leibert, E. R., and Sheldon, B.E. *Handbook of Special Events for Non-Profit Organizations*. Washington, D.C.: Taft Products, Inc., 1974.

This book provides detailed descriptions, step-by-step procedures, and checklists for all types of special events. Actual case studies and experience reports of over 100 events conducted by local and national organizations are presented. 224 pages available for \$12.95 from Taft Products, Inc., 1000 Vermont Avenue, N.W., Washington, D.C., 20005.

Sperry and Hutchinson, Co. *Publicity Handbook: A Guide for Publicity Chairmen*. Fort Worth, Texas: Sperry and Hutchinson, Co., 1964.

A basic handbook presenting the steps to good publicity, how to prepare stories, how to work with the media according to your needs, and a description of other new outlets, e.g., handbills, mailing inserts, posters, etc. 24 pages available for 25¢ from: the Sperry and Hutchinson, Co., Consumer Services Division, Box 935, Fort Worth, Texas, 76101.

NOTES

1. National Center for Voluntary Action, "Telling Your Story: Ideas for Local Publicity" (Washington, D.C.: NCVA, 1976 pamphlet).

Appendices To Chapter 16

Each of the below listed appendices were adapted from: The American Association of University Women, *Tool Catalog: Techniques and Strategies for Successful Action Programs* (Washington, D.C.: AAUW, 1976).

- Appendix I. A.: How To Prepare and Deliver a Speech
Appendix I. B.: How To Operate a Speaker's Bureau
Appendix II.: How To Plan and Issue Publications
Appendix III.: How To Plan and Coordinate Mailings
Appendix IV. A.: How To Prepare Exhibits
Appendix IV. B.: How To Coordinate a Fair

Appendix I A How To Prepare and Deliver A Speech

A speech may be given to inform, persuade, impress, and/or entertain through a personal appearance or to present information and opinions at hearings, meetings, conventions, debates, panel discussions, and similar gatherings.

Taking the form of a lecture, briefing, presentation, formal statement, testimony, welcome, or "brief remarks," it may be read, recited, delivered extemporaneously, or may be impromptu.

Key Points

- Tailor your speech to the specific audience you will be addressing.
- Use a highly structured organization for your speech.
- Look at members of the audience while you are speaking.
- Be brief.

A researcher, a writer, an artist, and a speaker make up the team for delivery of a successful speech. One person may combine these roles, or the jobs may be divided according to background and skills.

Time required for preparation will vary with the speaker's experience, familiarity with the assigned topic, and the time available for preparation. Old speeches can often be quickly reworked for new uses. Experienced speakers will often deliver brief talks with no prior preparation.

Little or no funding is needed, except to purchase supplies for audio-visual aids if these are to be used. On the day of the speech, the speaker may incur travel, parking, and/or babysitting expenses. These expenses may be reimbursed from one or two sources: (1) out-of-pocket, absorbed by volunteers or (2) fees paid or contributions made by the group inviting the speaker. Some speakers may be willing to deliver a speech for nothing.

Writing a Speech

Preliminaries

1. Research the audience carefully.
 - a. Make specific references to their interests, leaders, heroes, achievements, plans, members, attitudes, and potential involvement in your activities.
 - b. Respect their beliefs, loyalties, and attitudes. Be able to illustrate how your view follows from or agrees with theirs.
2. Review old speeches. These may often be successfully reused with the simple addition of specific references to the new audience and recent events, thereby saving you time.

Organizing

1. Make clear what you want the audience to do in response to your appearance.
 - a. Draw conclusions for them rather than rely on them to draw their own, especially if the subject is complex or the audience is not well informed on your topic.
 - b. Illustrate what your topic means to them and to people about whom they care.
2. Discuss the problems before you describe the solutions.
3. Prepare your audience early for later counter-arguments it will hear.
4. Divide your speech into an introduction, body, and conclusion. Tell them what you are going to tell them, elaborate on it, then tell them what you have just told them.
5. Give your listeners frequent guideposts so they can stay with you. Remember, they can't go back to "reread" a sentence they may have missed.
 - a. Use a highly structured organization. Tell them how many points you intend to make and conspicuously label each one with words like "first," "second," and "third."
 - b. Repeat and review your main points. Make clear the relation of the details in your speech to these points.
 - c. Use concluding words like "finally," "last" or "in conclusion," but only when you are at the end of your speech. **DON'T DRAG IT OUT.**
6. Use large type, double or triple spaced. Underline and use phonetic spellings for unfamiliar words when preparing a text for a speaker.
7. Remind the speaker to pause at appropriate places. Write the word "pause" or some numbers (1-2-3-4-5-6) at the stopping places in the text.

Giving the Speech

1. Include many examples, anecdotes, and other specifics to illustrate and prove your points. Relate to your audience.
2. Actively involve the audience in the speech. Encourage their participation.
3. Use repetition, refrains, and chants.
4. Make sure the speech is in language that sounds natural for the speaker, yet accommodates the audience.
5. Write for the ear, not the eye. Short sentences and words, phrases and incomplete sentences, even if grammatically incorrect, sound better.

6. Don't assume the audience knows what any specialized term means. Include definitions and examples.
7. Make all speeches as short as reasonable for the occasion. An effective speaker knows he can hold an audience's attention for approximately 15 to 20 minutes.
8. Prior to delivering the speech, practice it out loud or on tape. Know your material.
9. Go out with an experienced speaker before doing any public speaking on your own.
10. Make sure the pages of your speech are arranged in the right order and that you have all of the pages. Number your pages.
11. Arrive early to hear relevant, previous speakers and to determine the tone of the meeting and to set up any audio-visual aids you may be using.
12. Develop and use good platform habits.
 - a. Speak s-l-o-w-l-y, deliberately, and provide pauses.
 - b. Speak loudly enough for everyone in the room to hear you.
 - c. Don't read your text. Pauses may be utilized to refer to your notes. Don't panic if you forget where you are. Utilize the pause to refer to your notes then pick up from there.
 - d. Establish "eye contact" with each member of the audience.
13. Be flexible. Cut parts of your speech if necessary.
14. If asked a question you can't answer, don't panic. Promise to get the information and follow through. Try to anticipate questions when composing your speech and have the answers ready.
15. Know when to stop and *do so*.

Even the most experienced speakers work for improvement in their delivery. Written evaluations may praise you extensively, but find out your weak points and improve them. Review yourself critically. And always strive for the best.

Appendix I B

How To Operate a Speakers Bureau

A speakers bureau is used to systematically reach organized groups and opinion leaders with a persuasive, impressive personal representative; to build public understanding or support (including fund-raising and recruitment) for your position, organization, and activities; to dispel misinformation or to rebut charges; to make the best use of your spokesman's time; to respond efficiently to requests for speakers or personal appearances; to insure all your spokesmen are consistent in their public statements; or to provide a central community source of speakers.

A speakers bureau is a clearinghouse that provides speakers, discussion leaders, and resource persons to address or participate in meetings, classes, and various programs. It may provide speakers representing only one organization, viewpoint, or subject; or it may include diverse groups, viewpoints, and disciplines. It may also provide films and literature to supplement its speakers.

Key Points

- The worst thing you can do is promise a group a speaker who does not appear. Be certain all commitments are kept, even if your coordinator has to fill in at the last minute for a "no-show" speaker.
- Never send out a poorly informed or misinformed speaker. Be sure all speakers have up-to-date information, especially about controversial matters.

A coordinator is needed to organize and operate the bureau. Several other volunteers may help with administrative tasks. Your public information chairman should be involved in efforts to publicize the bureau and speakers' appearances, as well as in the preparation of literature for distribution at speaking engagements and audio-visual materials for use in conjunction with appearances. Up to several hundred people can form the speaker corps.

Organizing and publicizing the bureau, preparing handouts and audio-visual materials, and training speakers will require from 30 to 80 hours. This work can be spread out over several months, but could be done in a few weeks, if necessary. Allow 60 to 90 minutes per speaking engagement to process the request, provide needed materials, help with publicity, and get evaluations.

To save money, someone in your organization may offer the free use of his home and telephone. In this case, do no mailings and have no handouts or audio-visual aids for speakers. Have your speakers absorb travel expenses. Many bureaus are run in this manner.

Your organization may choose to provide enough money for the following (listed in order of priority): Handouts about your group or position for all audience members at speeches; printing and postage for news releases about the speakers bureau; reproduction and mailing to speakers of background information and sample speeches; audio-visual aids for speakers (slides, charts, posters, samples, props, etc.); travel expenses for speakers, especially parking fees or carfare, but perhaps babysitting fees also. Some sources for this may be fees paid or contributions made by groups supplied with speakers, perhaps on an ability to pay basis or perhaps to cover expenses only.

Preliminaries

1. Decide what subjects your speakers will cover.
2. Recruit a corps of speakers who are willing to become informed on these subjects.
 - a. Include organization officers and most active members, but also other members and supporters.
 - b. Seek out people who belong to organizations like a toastmasters or a toastmistress club or who have had public speaking experience. Teachers in your membership are often excellent speakers.
3. Set up a background file on each speaker to help fill requests and publicize talks. Include the following information:
 - a. Time and days generally available.
 - b. Transportation available.
 - c. Topic specialties.
 - d. Background, interests, other memberships, and affiliations.

- e. Appearances made on your behalf.
- f. Biography.
- g. Several black and white glossy photographs.
- 4. Help your speakers be more effective by improving their knowledge of speaking techniques and of your organization's activities, positions, and organizational structure.
 - a. Provide written fact sheets outlining key points to be included in talks, along with statistics, examples, quotes, and other useful specifics.
 - b. Be sure speakers are on your mailing list and are kept informed of all key developments about which they may be asked at a speaking engagement.
 - c. Provide sample speeches for speakers to use with modification into their own style.
 - d. Run training workshops to let speakers practice talks, exchange tips, and discuss problems. A local speech teacher, toastmaster, or toastmistress might do this free. Check members and spouses for possibilities.
 - e. Before sending new speakers out alone, have them accompany an experienced speaker to observe.
 - f. Tape or film talks for critical review.
- 5. Assemble handouts your speakers can distribute.
 - a. Use existing organization literature if it is appropriate.
 - b. Provide enough extra copies of the handouts for groups to send to absentees with their next newsletters (have your speakers suggest this).
 - c. Work out a system to "code" your handouts if they include reply forms so you can measure responses.
- 6. Prepare audio-visual materials for speakers.
 - a. If you have a large number of speakers, consider preparing a short slide show or film (10 to 15 minutes) giving the basic information about your topic. The speakers can then build on this to discuss their specialty.
 - b. Keep track of the location of your materials. If speakers can't easily pick them up, provide delivery service.
- 7. Let groups know you have speakers available.
 - a. Use the press. Channel all contact with newspapers, radio, and television through your general media contact member.
 - b. Contact organizations directly.
 - (1) Prepare a brochure to send to presidents and/or program chairmen. Tell them who is available, what the topics are, how much notice is needed, and what costs, if any, are involved.
 - (2) Some types of groups you might want to contact are:
 - Civic associations
 - Women's clubs or men's clubs
 - Youth and scout groups (and groups of their adult leaders)
 - Activist, "issue" groups (environment, consumer, peace, etc.)
 - Classes (adult education, school, and university)
 - Senior citizen groups
 - Labor unions
 - Business and professional organizations
 - Church and religious groups
 - Service or fraternal community organizations

- Teacher groups
- Parent groups
- c. If you learn a group has had or is planning a program on your opponent's view, ask to present your own view "for balance."
- d. The largest groups are not necessarily the most important ones to address. A presentation before a small group made up of opinion or organization leaders may sometimes do you more good than a talk before 500 apathetic individuals.
- e. If a group is too small to make a talk worthwhile, suggest that it combine with a nearby or related group for a joint meeting featuring your speaker.
- 8. Focus your efforts on the groups most likely to contain the types of people you want to reach or whose active support you want.
 - a. Don't hesitate to speak before potential opposition groups. Your speakers may be able to neutralize the opposition by a talk that stresses areas of agreement, dispels misconceptions, and impresses audience members with their knowledge, "responsibility," sincerity, or friendliness. Be sure to send your best, most experienced representatives on such missions.
 - b. Follow up on your initial mailing by telephoning organizations you especially want to reach.
 - c. If a formal speech can't be arranged as the main feature of a program, ask for five or ten minutes to make a brief presentation and distribute literature.

Operating the Bureau

- 1. When you get a request for a speaker, find out all you can about the group making the request, the intended audience, the program format, the speaker's obligations (speech only, answering questions, eating dinner, or joining a coffee hour), and the facilities.
- 2. Choose the speaker who can most effectively deal with the assignment.
 - a. Consider sending someone with ties to the group (e.g., a business person to a chamber of commerce, a young person to a youth group). This will show you have things in common.
 - b. Save your top people for the most important appearances.
- 3. Give your speaker all the information you can on the group, audience, and facilities, and help tailor the talk to the occasion.
- 4. Have a contact to deal with as plans progress or change.
- 5. Check out all details in advance.
 - a. If your speaker will need special equipment (table, easel, projector, screen, etc.), be clear on who will provide it. Be sure you will have the right type and necessary back-up equipment such as spare bulbs and special three-prong plugs.
 - b. Get permission in advance if you want a sales or literature table as part of the presentation.
- 6. Provide the sponsoring group with background material on your speaker and organization to use in publicity and introductions.
- 7. Two days before the meeting, call up both the sponsoring group and your speaker to remind them of the engagement and make sure there are no problems.

To follow up after the talk, call the group and contact for a frank opinion of your speaker's effectiveness. Do this before calling your speaker, if possible. At the same time, ask for copies of the group's newsletters mentioning the speech or other write-ups of the event.

If your speaker doesn't call you with a report, call the speaker. Ask about the size of the audience and their reception. Reassure the speaker, if needed or deserved, and arrange for all needed follow up.

You may use written evaluation forms, too, but you will get more rapid, complete, and honest feedback by telephone.

Be certain to thank your speaker, not only privately by telephone or in person, but also publicly through your newsletter. If the sponsoring group sends you a thank you note, or if you get any other feedback from the speech, including newspaper clippings, be sure to send copies to your speaker. Give speakers certificates or awards for service each year.

If you coded your handouts, check to see which talks led to new members, requests for information, contributions, or other feedback.

Keep a record of the number of speeches given, groups addressed, approximate audience reached, etc. Generally this is valuable information to provide funders and supporters.

Some other organizations which may be of assistance in helping you to set up a speakers bureau and in speech writing are:

International Toastmistress Clubs
9068 E. Firestone Blvd., Downey, Calif., 90241

National Center for Voluntary Action
1735 Eye St., NW, Washington, D.C., 20006

Toastmasters International, Inc.
2200 N. Grand Ave., Santa Ana, Calif., 92711

Appendix II

How To Plan and Issue Publications

Use publications to educate and inform the public; inform, motivate and thank your organization's members; to record your progress and accomplishments; or to report your findings or views.

Written materials are needed at some point by nearly every organization and project.

Some Types of Publications and Their Use

Newsletters or bulletins. Usually used to inform your membership of progress and accomplishments of your organization. These are good vehicles for meeting notices, background information, and recognition of member service. The regular publication of a newsletter or bulletin serves to make your organization cohesive. Newsletters should be short and issued frequently.

Brochures. This type of publication serves to catch the attention of potential members. They should be revised frequently to stay abreast of current activities, leadership, and dues. When appropriate, include a membership application form.

Leaflets and Flyers. These are often used as handouts or mailing enclosures. Focus on one issue or

event per flyer, making them concise and easy to read. One page is usually most effective. Show sponsorship (organization name, address, and telephone contact) on all leaflets.

Reports. These are carefully researched studies, used to inform membership, government, or the public about a problem, project, or activity.

Key Points

- Know who your audience will be and target your publication to it.
- Get firm prices in writing from typesetters and printers.
- Be sure to get final approval of your publication before having it set in type.

You will need someone to write, edit, type or typeset, do layout, and design for each publication. Sometimes one person can do more than one job. Professional help is usually required for printing. Draw on the talents of your membership if you have anyone with journalistic experience. Journalists and public relations specialists in your community are a good source of professional help, whether they are volunteers or paid consultants.

The time you need will depend on the capabilities of printers in your area. The speed with which your writers and typists work also influences the time needed to issue a publication, along with the number of approvals needed. A skilled, experienced writer can often turn out better copy in one day than a beginner can produce in two weeks.

See if you can get a printer to donate his services or offer a discount, or use do-it-yourself reproduction processes like mimeographing. Type your own copy onto stencils or in "camera ready" form, ready for photographic reproduction, to avoid paying for typesetting.

Or you may wish to hire professional typesetters, designers, and printers, providing you have the necessary funds. Color, artwork, printing process, and the number of copies printed are the major factors affecting cost.

Preliminaries

1. Decide on the purpose and the intended audience of your publication and plan accordingly.
2. Get an editor to take charge of the publication.
3. Know your budget and plan with it in mind.
4. Choose the reproduction process.
 - a. Spirit duplicator (ditto) is the least expensive method, but is good for only 100—150 copies.
 - b. Mimeograph gives clear copies from stencils and is good for 500 to 1,000 copies.
 - c. Offset lithography is a fast, economical way to produce a large number of copies. Use offset to reproduce something you have typed yourself or had set in type (drawings and clippings may also be done this way). This process enables you to enlarge or reduce an entire page of copy to a specific size.
 - d. Letterpress is used for very large runs and permanent publications where appearance is very important. It requires the use of metal type and engravings of art work or photos.

Issuing the Publication

1. Write and edit.
 - a. Gather information.
 - b. Write the first draft.

- c. Proofread the draft.
- d. Make revisions and submit the draft for final approval.
2. Design the publication.
 - a. Color. Although you want your publication to be eye-catching, first and foremost you want it to be readable. Black ink on white paper is the least expensive; however, for a few dollars more you can use a colored paper. Using more than one color of ink is more expensive because the printer must run the publication through the presses more than once.
 - b. Paper. The important factors in choosing paper are size, weight, and finish. You will be paying more for the heavier weights of paper and for slick or textured finishes. Examine samples of paper to determine your needs. Sixty pound paper is heavy enough for offset printing so that your copy will not show through on both sides. Regarding size, standard sizes (8½ x 11, 8½ x 14, and 11 x 17) are the most economical since there will be little waste. Recycled paper is great for the ecology movement, but usually is much more expensive.
 - c. Art. Cartoons and drawings prepared by your own artistic members or illustrations taken from clip books may be used. Clip books are large books from which you may choose your drawings or even clip them.
 - d. Photographs. A general rule to follow is to use no photos rather than use bad ones. Pictures should be clear, with contrast, in focus, and interesting. Natural photographs are more interesting than stiff, artificially posed ones. Remember that with color photos the printer will have to take more time with the screening process and will run up cost. You can generally get by with good quality black and white glossy photographs which have been cropped to eliminate confusing, distracting background or elements. Consult with your printer on this issue.
 - e. Number of pages. A carefully and concisely written publication, edited to perfection, is less expensive and usually more captivating than one that is not.
 - f. Typestyles. There is a large variety of type styles and sizes. If you are using a typewriter and plan to have your publication done by offset lithography, then you are more limited unless you have access to one of the selectric typewriters that offers a variety of types on circular elements. If you are using letterpress, consult with your printer to look through his family of type and select the one that most fits your needs.
 - g. Design. A few good tips on design are:
 - (1) Don't crowd the pages. Utilize blank ("white") space to give the eye a rest and to minimize confusion.
 - (2) Separate articles and chapters from each other by blank space, lines or symbols.
 - (3) Break up lengthy columns of type with subheads.
 - (4) Don't overdo variety.
 - (5) Use type that is large enough to be easily read, usually at least a 10-point size type.
3. Make all corrections, additions, deletions, and get all approvals on the text and art *before* having it set in type.
4. Prepare the copy for the printer.
 - a. Type the copy yourself for "camera ready" offset lithography.
 - b. Have the copy typeset. This can be done for either offset or letterpress.
 - c. Justify the margins on the right hand side for a neater appearance.
5. Arrange or "dummy" the final layout of each page.
6. Select and deal with a printer.
 - a. Get several bids in writing.
 - b. Give your exact specifications for your publication.
 - c. Order the largest number of copies possible in the first printing to avoid a second or third printing.
 - d. Don't change your copy after it has gone to the typesetter. This is costly.
7. Distribute the publication.
 - a. Make a list of those you would like to receive your publication.
 - b. Work on distribution while the work is at the printers.
 - c. Print extra copies and save them for future reference.

Appendix III

How To Plan and Coordinate Mailings

Use mailings to keep your members, supporters, and other community members informed of your plans, progress, activities, and positions; to announce coming meetings and actions for which you seek public support, attendance, or participation; and to familiarize potential — members, contributors, and supporters with your organization's outlook and activities in hopes of attracting their support and involvement.

Mailings are an efficient and effective way to transmit information among members of your organization and the community. A good, up-to-date mailing list is invaluable. Your organization should have two types of mailing lists: one with all your members, the other with key nonmembers whom you want to keep informed of your activities. Mailings can be targeted to and within these lists. Proper planning and knowledge of mailing procedures can save your organization significant amounts of money and time.

Key Points

- Keep your mailing list current.
- Subdivide your mailing list to identify people for specific mailings.
- Learn postal rates and expected delivery times.
- Plan ahead.

One member should be designated as mailing list coordinator with responsibility for keeping your organization's mailing list current and supervising mailings, recruiting assistants to help if necessary. Commercial mailing services can handle nearly all of the administrative work, but are rarely economical if your list is small and is used only a few times each year.

Time required varies with the size of your list, the number of mailings done, and the number of persons

available to help. The initial organization and compilation of a nonmember mailing list may take several weeks, depending on the amount of research necessary to obtain the names and addresses desired. Each addition or change in your mailing list requires only a few minutes to record and file. In preparing mailing, one person can usually address, stuff, seal, and stamp 70 to 80 envelopes in an hour.

You may wish to use inexpensive, do-it-yourself addressing systems which generally involve gummed or pressure-sensitive labels that are attached by hand to your mailing pieces. It is usually possible to make several sets of labels with only one typing of your mailing list.

To partially automate your mailing process, use a professional mailing service to address your envelopes, or request pre-addressed labels.

Use a professional mailing service to handle your mailing operation if you have a larger budget. This service will include addressing, stamping, stuffing, sorting, updating your list, maintaining your files, and delivery for postal service processing.

Organizing Your List

1. Decide what type of people you want to include on your mailing list.
2. To assemble a mailing list, borrow or rent lists compiled by other organizations. Never promise or provide your organization's mailing list in exchange for the use of another list.
3. Place individual or group names on separate file cards, making possible rapid revision of the mailing list.

Maintaining Your List

1. Maintain cross-files to find out quickly who is on your list.
2. Have "Return Requested, Postage Guaranteed" envelopes so you can correct and update your mailing list.
3. Update your list before major mailings to cut down the number of returns.
4. Subdivide your list to allow you to do selected mailings.
5. Review your mailing list often to eliminate unnecessary mailings.

Preparing Mailings

1. Learn current postage rates and the time it takes for each class of mail to reach its destination.
2. Investigate alternatives to first-class mail, but weigh their costs and benefits in time, work, and money.
3. Economize on the size of your mailings. Save money on paper, postage, and the size of envelopes by using both sides of a sheet of paper for your mailings.
4. Work with the U.S. Postal Service.
5. Allow (timewise) for the worst in mailing your material.
6. Plan your mailings ahead of time to recruit enough people to accomplish the mailing.
7. Enclose return envelopes to encourage replies to your mailings. A first-class business reply permit is free and requires you to pay only for envelopes received.

Appendix IV A How To Prepare Exhibits

Attention-getting exhibits can carry your message to audiences at meetings, fairs, conventions, community centers, and a variety of other events and places. Your exhibit can be portable and temporary, or it can occupy a permanent information-propaganda booth.

Uses

- To communicate with other groups
- To display your group's achievements
- To educate the public
- To represent your group at conventions and meetings of other groups
- To promote your projects and build support
- To raise funds through the sale of publications, art work, or other products

Action Checklist

Preliminaries

1. Decide what you want your exhibit to include. It should be easy to assemble and take down. Think of eye-catching things that will tell your story quickly. Try to relate the exhibit to your intended audience.
2. Prepare your exhibit. Include all or some of the following in your exhibit:
 - a. Posters showing your group's name and logo if you have one.
 - b. Literature about your group, including self-addressed return cards or applications for membership.
 - c. Handouts that can be studied later at home.
 - d. Copies of recent publications.
 - e. Photos of your group in action.
 - f. Newspaper clippings about your group, project, or issue.
 - g. Items made by your members or by members of organizations with which your group works.
 - h. Quizzes, self-tests, or other devices to directly engage your viewers in activities other than just looking.
3. Arrange opportunities to display your exhibit. Use your speaker's bureau (if you have one), exhibit arrangements coordinated with speaking engagements.

Exhibiting

1. Know where the exhibit materials are at all times.
2. If you're invited to exhibit someplace, know all the details (what you must supply or pay for and what will be provided by your host). Never count on another group to provide anything unless this has been arranged in advance.
3. If appropriate, send a member to "man" your exhibit. This person should be well-informed to answer questions, recruit new members, and to make sure the exhibit is not mistreated.
4. "Code" literature so that you can easily relate follow-up calls to their source.

Appendix IV B

How To Coordinate a Fair

Exhibits for display at group or public meetings are available from many organizations. Such exhibits may be table top, wall, or bulletin board and may include live demonstrations, films, slide shows, literature, or photos. An effective way to bring together many organizations for a community service or action exhibit is to organize a fair related to a particular theme.

Uses

- To inform your members or the community of the work and resources of various organizations,
- To illustrate a problem and suggested solutions,
- To provide a centralized source of information or assistance.

Action Checklist

Preliminaries

1. Decide on the purpose of the exhibit and whom you want to attract.
2. Obtain a site for your exhibit.
 - a. Sign a contract or agreement with the owner of the site regarding your use of the site.
 - b. Obtain necessary permits from local officials.
 - c. Make arrangements for security, public liability bonds, insurance, refreshments, and sanitation facilities.
3. Invite exhibitors to participate in your fair. Give details as to time, place, etc.
4. Publicize the fair well in advance.
5. Confirm arrangements before the fair.

The Day of the Fair

1. Arrive early to set up, handle problems, and check on the facilities.
2. Have assistants to help out.
3. Provide ample opportunity for guests to view all the exhibits.
4. Collect names and addresses of persons attending for possible use on your mailing list.
5. Provide adequate security for unattended exhibits.

Chapter 17

Advocacy

Increasingly citizen groups are interested in becoming agents of change in addition to volunteers of service. They consider one-on-one service projects and other criminal justice program enrichment activities as Band-Aid efforts that help to perpetuate a faulty system. Direct service may help to alleviate individual suffering, but it is impotent with the myriad of problems resulting from laws that make criminals out of those who are not, the inequitable administration of laws, institutions unwilling or unable to respond to the changing needs of their constituents, irresponsible and unresponsive public officials, and the widespread ignorance and indifference of the public.

To meaningfully address the causes of crime and to get to the roots of the problems facing the criminal justice system, systems change through advocacy is being called for.

Our political system is not composed solely — many would argue not even principally — of elected representatives. Interest groups and lobbyists abound. Those with power — money, influence, knowledge, status — are able to protect their rights and interests either through their own intervention or by hiring professional spokespersons — lawyers, lobbyists, publicists — to act on their behalf. However, the great majority of those processed through the criminal justice system — the poor, the disadvantaged, the uneducated, and the unskilled — are less adept at representing their interests and protecting their rights.

Advocacy is acting in behalf of another or in support of a cause. It is based on the premise that many citizens are unable to cope with unresponsive bureaucracies and need assistance in securing the consideration and the services required for a healthy life. Whereas the goal of counseling and many rehabilitative programs is to help people cope with malfunctioning institutions, the goal of advocacy is to help people change those institutions.

The simplest and most commonly practiced form of advocacy is individual or client-centered advocacy, which defends the rights and interests of individual clients or offenders. Voluntary programs, youth service bureaus, and other diversionary programs have been established in recent years to follow individual clients through the maze of social service referrals and to

intervene as necessary to assure that the clients' needs are being met.

The more comprehensive form of advocacy — class or issue-oriented advocacy — focuses on systems change. Class advocacy is directed toward changing policies or conditions that adversely affect a whole class or category of people. The target of class advocacy might be criminal codes and laws, court procedures, police procedures, detention practices, correctional programs, educational practices, welfare regulations, health care, housing conditions, etc. Class advocacy may be directed toward local, state, regional, or national changes.

Advocacy always implies change, and change frequently implies resistance to change. Overcoming resistance to change *sometimes* implies confrontation and controversy. Resistance to change may come from:

- vested interests in the status quo where certain people fear losing power, prestige, or money from the proposed change;
- ignorance;
- fear of the unknown;
- contentment with the old, particularly when people don't see how the target problem adversely affects their lives;
- divergent goals, priorities, or values;
- resignation that nothing constructive can be done about this or any other problem;
- apathy and indifference;
- lack of funds or energy; and
- implications to officials and practitioners that they have been failing or not doing their jobs well.

To overcome resistance to change, you must first identify the sources of resistance. Not every proposed change will be resisted for the same reasons or with the same vigor.

Many people too quickly equate change through public action and advocacy with civil war, with confrontation, and with coercion. Nothing could be further from the truth. There are many ways to advocate for change. Educational, persuasive, and informational activities are the most commonly used change strategies — and frequently the most effective ones, as those based on power tactics tend to increase, not decrease, resistance to change. But the advocacy strategies employed should be determined by the nature of the problem, the cause of the

harmful condition, and/or the sources of resistance to changing the condition.

In the following pages, general guidelines for planning an advocacy strategy will be discussed. Next, approaching systems change through coalitions will be explored. Then general guidelines for approaching the target organizations and their possible receptions will be presented. Finally, specific advocacy tools and techniques will be outlined.

General Guidelines

1. *Know what you are trying to change.*

Just knowing that there are problems and inequities in the status quo is not enough. A thorough need assessment is essential. You must determine what has been tried before, whether or not it worked, and if it didn't work, why not. Otherwise you might find yourself reinventing the wheel and advocating for changes or "new" practices that have been tried in the past. Don't overlook the experience and knowledge of those you are trying to help — offenders and system officials alike. There is nothing quite so outrageous as the self-acclaimed expert who knows all the answers but doesn't understand the questions. Study both sides of the issue so you can better understand where the opponents to change are "coming from." Specific knowledge of the specific system in your specific community more than general knowledge from readings is required.

Many people believe that before moving into the field of public action and advocacy, you should first pay your dues through direct service work. Doubtlessly, there is no surer way to grasp the realities of criminal justice problems than to do just that. Yet, system officials need to understand their clients, and we don't require that they first be offenders, poor, or uneducated. Many professional change agents even warn against lengthy direct participation in the system you want to change as it can quickly lead to cooptation.

2. *Develop realistic goals.* Deliberate and fundamental change is a slow, faltering process. Short-term goals or milestones are needed to demonstrate results soon enough to maintain group interest and motivation.
3. *Don't initiate battles or conflict when the same change or end can be*

achieved through a consensus approach. Conflict frequently results in undesirable side effects and backlashes, and almost always increases resistance to the change.

4. *Don't initiate battles that you have no hope of winning.* Assess your resources and strengths in comparison to those who resist the change. If you are clearly underweight, then continue to build your support base before taking on the opposition. Credibility can be destroyed by bad timing. But don't be too cautious. Success is never certain and there can be honor in defeat.
5. *Some advocacy strategies may affect your organization's tax exempt status.* Most will not. Before planning extensive legislative or campaign activities, check with a lawyer to determine the extent to which you may lobby without losing your tax exempt status.
6. *Involve relevant others in your action plans as soon as possible!!*

Coalitions¹

Complex social problems like crime and delinquency are rooted in many community institutions and agencies — the family, schools, churches, businesses, social agencies, and criminal justice agencies. The seemingly insurmountable problems facing the criminal justice system are community, state, and nation-wide. Although it may be easier to work alone, such problems frequently beg for a community, state, or nationally based collaborative approach which applies the concentrated efforts of many people rather than isolated groups. Coalitions may be the answer.

A coalition is an alliance of diverse individuals and organizations banding together to achieve a common goal. The members of a coalition may differ on many issues, but the one issue or goal that they share is the adhesive for cooperative efforts. The uses or objectives of coalitions include:

- to maximize the power of participating groups through joint action (United we stand; divided we fall.);
- to eliminate unnecessary duplication;
- to pool talents and resources;
- to develop and demonstrate widespread public support for an issue or action;
- to serve as a "front" so as to insulate member organizations from attack and

adverse publicity when engaging in controversial advocacy activities; and

- to protect the tax exempt status of the member organizations when substantially involved in lobbying.

Many believe that there is one thing that a coalition cannot do: operate direct service programs. A coalition can plan, advocate for, support, monitor, and evaluate programs. It can plan for coordination or support legislation, but if it gets into the operations, it will be in competition with other providers of services.

To be effective, a coalition must have some clout — power. Otherwise, it will find itself in the frustrating position of making recommendations that never get acted upon or plans that never get implemented.

Whom To Include?

After you have identified the target problem you feel could be best addressed through a collaborative effort, identify:

- who is already doing what to alleviate the problem, and
- who else is concerned about the problem.

You want the broadest representation possible of those organizations and individuals who are already focused on the target problem. But, you also want on the coalition those individuals and organizations that can be the most effective in influencing change even if their interest in the target problem is initially only peripheral. You want the power structure, the decision makers.

First, identify local organizations. Many local United Funds and community service agencies publish directories of community organizations. Next make a list of the types of people and organizations whom you feel should be involved in the coalition. Then find out all you can about the prospective organizations and individuals. Their goals, priorities, membership, support, and past activities will be important in determining if there is a basis for collaboration. You may obtain this information by talking with members of your own group who also belong to the other organizations, members and officers of the other organizations, community leaders, and media representatives. Also obtain copies of the organizations' brochures and other publications, and when possible attend some of their meetings.

If there are particular individuals who could be an asset to the coalition, don't hesitate to ask them, even though you know they are over their heads in other activities. If they are interested in the project, they will generally find the time to

take on more. Somehow, achievers find the time to achieve more. If someone is really too busy, see if he wants to be kept informed on the coalition's progress and would help with a specific need at some time in the future. Their greatest contribution might be convincing others to join the coalition.

Contacting Potential Members

It will take time to get the participation of other organizations. Before contacting those organizations you want to include, look at the proposed coalition from their standpoint and develop arguments as to why it would be to their advantage to join.

Then call an officer or friendly active member of the other organization to ask him to work with you. When possible, work through members of your group who also belong to the other group or through a friend who is respected by the leaders of the other organization. Be prepared to meet with their board members to present your case.

Expect that other organizations will want to become more familiar with your group before they commit themselves. Expedite this by sending copies of any printed material you have on your work and inviting them to attend your meetings.

After contacting several interested organizations, hold a small meeting for the leaders of the different groups to discuss coalition possibilities. Be candid with each other by discussing potential problems that might arise from working together. Each group may want to be assured of being able to maintain its own special identity, or it may want to be camouflaged.

Assure the prospective members that once the coalition is formalized, your group won't be holding the reins but that it will be a joint effort. This means that publicity, praise, and credit will be shared equally! If the leaders from some of the initial groups contacted are interested, begin sharing responsibility immediately by dividing up responsibility for contacting additional groups. You can divide the list of whom to see according to which group has the most ties with the organizations still to be contacted.

Structuring the Coalition

A coalition coordinating group of at least one representative from each participating organization will be needed to direct the coalition. Each organization should be prepared to back up — with members' services — the decisions of this group. Your representative to the coalition group should be someone who is very familiar

with your organization, its programs and policies. This person should be authorized to speak for your organization on all minor matters — major ones too if feasible.

The coordinating group will need someone to handle all the nitty-gritty work required to keep a coalition going — scheduling and arranging for meetings, seeing that mailings are sent out, etc. If it is decided to hire staff to fill this role, each participating group may be required to contribute money. An alternative to a financial contribution can be the contribution of expertise and volunteers beyond that provided by the other groups.

A spokesperson or chairperson for the coalition is necessary. This person should have recognizable stature in the community. Although there are some advantages in varying the spokesperson according to the occasion, overall it seems preferable for one person to be the recognized leader. Most people who have had experience in coalition building seem to agree that the chairperson is crucial to the success of the coalition, and that he must be respected in the community, have experience in dealing with groups, an ability to be fair, firmness when needed, and a good sense of humor. Representing diverse groups isn't easy. In addition, the chairperson should come from outside the service delivery system and have no vested interests so as not to be in competition with any of the other coalition members. If the chairperson has clout, this provides clout to the coalition.

How to select the chairperson? One way to obtain the support of the chief executive (mayor, county executive, commissioner, or governor) is to have him appoint the chairperson from a list of names provided by the coalition group. Be wary of having the selection process become one of competitiveness and rivalry between the participating groups.

A procedure for approving coalition actions must be established, although total consensus in every area before action can be taken is not necessarily required. Time for approval of major or controversial coalition actions by the boards of participating organizations should be allowed. Internal negotiating and bargaining will be necessary to resolve the differing values, opinions, and priorities of the diverse members of the coalition. Participants should be allowed to withdraw from the coalition gracefully when they feel that they must. But allow and encourage the reentry of dissident factions whenever possible.

The Coalition in Action

The first meeting or two of the coalition group will probably be devoted to the group's orientation and understanding of its purpose. A major stumbling block to effective coalition action will be the natural tendency to blame others — the nonmembers, of course — for the problems. Progress can only come after the group has stopped placing blame and started probing how they can work together.

You must be sensitive to the needs and problems of the other groups. Some will be more, and others less, advanced and sophisticated than your group. Don't be a show horse; rather be modest about your own competence.

Each participating group must identify its objectives for being there, and the group as a whole must identify the coalition's objectives. Essentially the same process of developing an action plan discussed in Chapter 9 applies to charting the coalition's activities. Subcommittees to perform the tasks required to meet objectives should soon be established.

At all times, remember that the coalition is a temporary body established to meet a pressing community need. Stay focused on that need and not on structure. Constant clarification and delineation of the coalition's purpose is essential. Because of the time required and inevitable strain on relationships between participants, collaboration is frequently discouraged for anything except priority issues that can be addressed no other way. What criminal justice problem is not a priority issue? What criminal justice problem has been resolved or visibly improved through isolated and uncoordinated efforts?

Possible spinoffs from your collaboration are increased understanding and cooperation between public and private organizations, and heightened awareness of the differing values and work approaches of others. In addition to making a noticeable dent in resolving the target problem, you just may make some lasting friends from "another world." Not every objective necessitates a formal coalition as much as close collaboration. Yet in many communities the essential organizations are not willing to collaborate with each other. If systems change is your game, attempting to establish viable communications might be a major project goal. Beginning with interested groups as with any other project, then incorporating converts as you go along, you may be able to spread coordination and order to the most fragmented, counterproductive system imaginable.

Criminal justice and social welfare officials are under constant pressures and are skeptical from overexposure to failure. Understandably they must see that their burdens will be lightened before they commit themselves to what may seem to be negotiation of their responsibilities and authority. You may well need to align many citizen groups before you have the clout to persuade important criminal justice and service agencies to cooperate.

As the collaboration and cooperation grow (it will be slow and haphazard), your role diminishes, as with any well-meaning facilitator or change agent. It will be difficult to attribute resultant success to those groups and individuals who initially were resistant and troublesome. However, you must give them credit, for, in fact, success did depend on their involvement. Yet, you will be familiar and credible with many more influentials, as well as experienced, which can make success with the next chunk simpler to achieve.

Wrapping Up

At the end of the predetermined target date, the coalition must be evaluated. Questions to ask are:

1. Were the coalition's objectives achieved?
2. If not, exactly what has been accomplished?
3. How effective has the coalition been?
4. What went wrong?
5. Should the coalition be continued as it is or in some modified fashion?

After the work of the coalition is completed, you may want to disband, as it is usually easier to form a new coalition for future projects than to revitalize an old coalition formed for another purpose. To lay the groundwork for future coalitions, maintain contacts and continue to cooperate with those groups that you worked with best.

Approaching Other Groups And Organizations²

The guidelines presented below may apply to many situations in which you are approaching another group or organization, whether it be to request changes in policies or practices, to establish a working relationship, or to obtain support.

Do Your Homework

Before approaching an organization, find out all you can about it — goals, priorities, membership, funding, past activities, and organizational structure.

Try to determine who in the organization makes the decisions and how they are made. You must understand the inhouse power structure to deal successfully with it. Seek answers to these questions:

1. Who is responsible for decisions in your area of interest?
2. By what process and timetable are decisions made?
3. What relevant policies, practices, or precedents can be found to support or oppose the organization's meeting your request?
4. At what points can influence be most easily and effectively applied to the organization and its decision makers?
5. What strategies and tactics would be most successful for influencing decisions?

For public agencies, determine how the agency fits into the legislative and executive frameworks of your city, county, state, or nation. What controls do legislators and executives have over the agency? Does enabling and funding legislation include clauses that would support or oppose your request?

Developing allies among people who are either a part of the organization or familiar with it can be an invaluable aid in analyzing the organization and determining the best procedures and channels to use in presenting your request. Encourage your allies to keep you up-to-date on developments and plans of the organization by respecting their confidence.

Be sure to study both sides, the advantages and disadvantages of issues related to your request. Put yourself in the organization's position and try to develop convincing arguments on why it would be to its advantage to meet your request.

Finally, before approaching the organization, decide just what response you want from it and clearly formulate your request. Depending on the nature of the request, you might prepare a concise, written proposal. To be worthy of consideration, the request must be realistic. It must be possible for the organization to meet the request unless you are attempting to disparage the organization and its policies.

Presenting Your Request

1. Initially go "through channels" to demonstrate your good will and desire to work

within the organization's procedures and regulations. Going through the hierarchy (secretaries, staff assistants, and others) to reach the relevant decision makers might be burdensome, but if you win them over, they can be valuable friends. If you are ignored by the decision makers, call on influential persons, supporters of the organization, and possibly the press to help you present your case. Attempting to establish informal relationships with the leaders of the organization before you present your request can make it harder for them to disregard or attack you. Remember, if the organization is very important to your planned work, they should be involved as early as possible.

2. Expect that if you are making a sizeable request of the organization, that its leaders will want to investigate your group. Facilitate this by giving references, by providing copies of relevant printed material, and by inviting organizational representatives to meet with your members.
3. Whether you are asking for money, cooperation, or changes within the organization, clearly spell out your request and goals so the organization will know what you consider a satisfactory response. Make it clear that you have studied both sides of the request and demonstrate why it is in the organization's interest to meet it. Never begin a request with a negative, "I know you probably can't do this, but..."
4. If you are making a request to which you are entitled as a citizen or taxpayer, be firm. Set deadlines and attempt to enforce them.
5. If necessary make the organization aware of your persistence and strength by:
 - making follow-up calls and visits;
 - writing letters to organization leaders to praise, question, or criticize as is appropriate;
 - contacting by letters, calls, or personal visits government officials and watchdog agencies to raise possible questions for their investigation;
 - communicating directly with the organization's constituents — customers, members, supporters, clients (Use advertising, direct mail, and other means to reach them; however, don't confuse or upset the clients of direct services agencies.); and/or
 - issuing public statements and news releases outlining your position and

presenting documentation to support your request.

Receptions You Might Expect

Organizations may respond to your request in a number of different ways as discussed below.

Cooperation. Frequently you will find a genuine willingness on the part of responsible officials to work with your group in conducting community service programs and even in adopting certain reforms. In this case, try to be as helpful and supportive as possible, and be certain to publicize favorable responses just as you would publicize a hostile reaction. Show the organization how worthwhile it is to cooperate with your group on projects of mutual interest.

Disregard. An organization whose procedures and policies you are trying to change may try to ignore you at first. You may have to demonstrate that your group is a force to be reckoned with by bringing public or private pressure to make it embarrassing or uncomfortable for the organization to ignore you. Examples of how an organization might illustrate its disregard through excuses for inaction, and of how you might respond to this reception are:

- ***"You don't really understand the complexities of the problem; we are the experts and we know best."*** If there is any truth to this, demonstrate your sincerity by asking to be informed further on the problem. If it is an unjustified excuse, be challenging and demonstrate your knowledge.
- ***"Denial that the problem exists, or that your examples of the problem are exceptions to the rule."*** If you have done a thorough need assessment and problem clarification, present your facts and figures. Ask them to prove that your examples are exceptions and are not widespread.
- ***"The problem exists, but it exists most other places as well, and there are other concerns or problems with priority over the one you are presenting."*** Here indicate why you think that the problem is a priority. Again, your problem clarification will be of assistance.
- ***"The community would not accept our meeting your proposal."*** Ask specifically who in the community wouldn't accept the plan and how they could prevent its implementation. Refer the organization to the individuals and groups who do support you and your idea. If appropriate, offer to work with community groups to develop more widespread acceptance.

- **"There is no money."** This really means that other programs and proposals rather than what you want are the priorities. Try to demonstrate the superiority of your proposal and the strength of support for it. If the organization can provide other services that do not require new expenditures, request them.
- **"We are taking steps to resolve the problem, or there are overriding considerations that prevent us from becoming involved at this time."** Ask specifically what they are and scrutinize them. If new action is planned and you want to help, offer to do so.

Runaround. The runaround may be a deliberate attempt by the organization to avoid your request, or it may simply be the result of a lack of internal coordination. If you did careful research beforehand and know who has the in-house power to make the decisions you want, you should be able to short circuit this problem. At other times you may be told that the problem or request is not within the organization's jurisdiction but is in the hands of some other organization, or the local, the state, or the federal government. If this is really the case and not just buck-passing, ask for their help in charting responsibility and authority for the problem. If the organization is interested in the problem, maybe they will help you approach the appropriate officials. If you feel that responsibility clearly lies with the organization, state why you think so.

Delaying Tactics. Some organizations may try to wear you down by scheduling a seemingly endless set of meetings and studies to review the issues raised. If you are told that the problem needs further study before an action plan is developed, discuss your own need assessment and, if appropriate, offer to assist the organization in its study. Test them by asking who is doing their need assessment and what they are doing. You might ask to meet with them.

Setting deadlines and sticking to them are good ways to counter delaying tactics. A threat to go over the head of the persons responsible for the delays and to communicate directly, or through the press, with the top officials of the organization is sometimes an effective countermeasure. Be wary of making threats, veiled or otherwise, if you can't follow through on them.

Threat and Intimidation. If your request involves controversial charges or fundamental challenges to the organization's procedures, officials may try to threaten or intimidate your members to stop your efforts. With sensitive

areas, adequate research to document all charges is imperative. In some situations you may need to consult an attorney in advance, and at appropriate steps throughout your deliberations with the organization. Such consultation guarantees you are staying within your rights and the law, and enables you to call any bluff made by the organization.

Covert Cooperation. Although an organization may officially reject your request, you may find a number of allies within its ranks who offer you behind-the-scene support. Cultivate such friends carefully, for they can be valuable assets and provide you with helpful information and advice.

Cooptation and Exploitation. Be wary of situations where an organization can exploit your work while providing you no assistance. You should receive credit for any assistance or services that you provide another organization just as you should give credit to such organizations when they provide assistance to your group.

Sidetracking. An organization might try to neutralize your group by appointing members to titled positions and do-nothing committees. You might accept such appointments and then try to incorporate some substance and meaning into their activities. Don't let such "honors" water down your negotiations with the appointing officials.

Negotiations and Bargaining. When you request changes in an organization's policies or procedures, you may reach the point where representatives of the organization offer to deal with your requests in a negotiating or bargaining situation. The suggestions which follow pertain primarily to cases in which you have some claim or right to make a request and have been engaged in an adversary relationship with the organization. They emphasize pitfalls to avoid if you are to conclude your efforts with a favorable agreement. Most situations will not involve an adversary relationship and can be resolved more openly, informally, and cordially.

- **Frame your position carefully.** Decide in advance whether to overstate your demands to leave room for compromise or whether to ask for just what you want and hold fast. Another option is to state your real demands but include on your bargaining team some members who make clear that your demands are already considered a compromise proposal that doesn't go nearly far enough. Most labor relations authorities advise asking for more than you want so you can

appear reasonable as you back down slightly. If your goal is constructive solution of a problem rather than embarrassment of the adversary, ask for something to which they can reasonably be expected to agree.

- Insist on negotiating only with people having the power to grant your demands.
- Involve your entire group in selecting negotiating representatives, formulating your position, and accepting or rejecting proposals.
- Prepare thoroughly for the negotiating sessions.
 - Research the background of the opposition and its representatives.
 - Be prepared to meet and counter any opposition arguments and tactics. Use role playing to practice beforehand.
 - Do not accept any information from oppositional arguments and tactics. Use
 - Be able to spell out what you plan to do if negotiations break down. Do not, however, make any threats you cannot carry out.
- Beware of attempts to divide and conquer your delegation. At the same time, look for opportunities to divide theirs, especially if you find some sympathizers on the other side.
- Try to include in your delegation some negotiators whom the opponents have not previously met and several different types of persons. This will keep your opponents off balance.
- Remain cautious or skeptical. Don't be taken in by opponents who are "nice".
- Stick to the original issues. If side issues arise, defer them to later negotiations.
- Oppose proposals for committees, commissions, or studies if you feel these are simply delaying tactics and the information needed to reach a decision is already available. Your preliminary research, in fact, should have produced or documented the existence of much of this information. If the other side has a legitimate need for time to consult others about a proposed settlement, agree on a deadline for this process and make clear that you expect the deadline to be met.
- If you are winning, allow your opponents to save face in the settlement; be charitable.
- If your opponents are using negotiations to wear you down, try to counter with public pressure to speed things up.
- Get all agreements and promises in writing whenever feasible.

Advocacy Strategies

As stated, the advocacy strategy of choice is determined by the problem situation and the sources of resistance to changing that situation. Most often, several strategies will be needed.

When selecting an advocacy strategy, ask "does this particular end justify these particular means?" As discussed in Chapter 8 on selecting a project, assess what means are available and then determine which is the most appropriate to the identified problem and the needs of your group. On some occasions, an adversarial approach is needed. Before rejecting confrontation as too unseemly for your group, consider this statement by Jacques Maritain: "The fear of soiling ourselves by entering the context of history is not virtue, but a way of escaping virtue." Change is unavoidable and battles for change will be waged. If these are left to extremist groups, the outcomes are not likely to be nearly so rational as they would be if the average citizen were occasionally willing to take off the white gloves and roll up his sleeves.

According to Naomi Hietl, executive director of the Illinois Commission on Children, a group

which carries on its advocacy openly, constructively, conscientiously, and courageously finds that opportunities are constantly offered to it by the supposed opponents to participate in the development of priorities, programs, and services, to review early drafts of rules, regulations, and legislative proposals, to undertake an exploration or exposition of a new or unsolved problem area. The confrontation aspect becomes less and less necessary.

Presented below are the most common advocacy tools. The appendices to this chapter include detailed instructions on how to plan and implement many of these strategies. These were adapted from the American Association of University Women's *Tool Catalog: Techniques and Strategies for Successful Action Programs*.

Education. Often problems result from the lack of information or from misinformation. The general public may be uninformed or apathetic. Frequently the responsible officials themselves are not informed and do not have an adequate grasp of the problem situation. In such circumstances, advocacy should be directed toward educating relevant officials and the public on the problem situation and what can be done to correct it. The public relations guidelines presented in Chapter 16 would be appropriate

advocacy tools. Indeed the great majority of advocacy strategies are educative ones — some informational and others more persuasive.

Influencing Legislation. Ours is a nation of laws. Traditionally lobbying has been the core of advocacy. There are many local, state, and federal laws that should be revised or abolished, and there are many that should be passed. A discussion of general guidelines for legislative relations, how to gain approval of legislation, how to visit your legislator, and how to write your legislator are presented as Appendix I.

Influencing Administrative and Regulatory Agencies. Administrative and regulatory agencies can wield as much power as legislative bodies. Laws are written by legislators, but their implementation is the responsibility of these agencies. Regulatory agencies are often considered a fourth branch of government because they combine legislative, administrative, and judicial functions in carrying out their responsibilities. For guidelines on how to influence such bodies, see Appendix II.

Operating Observer Corps and Monitoring. An observer corps is a group of people who regularly attend and monitor sessions of local governing bodies, boards, committees, or courts. Monitoring means keeping tabs in a “watch-dog” manner on the performance of a governmental agency or other type of organization to see if and how it meets its responsibilities. In operating an observer corps or monitoring, you may act either as nonparticipating, impartial viewers or speak out and join in the discussions when possible. Appendix III presents possible uses for these tools and action checklists.

Organizing and/or Influencing Public Hearings. Public hearings are sponsored by legislative committees, school boards, administrative and regulatory agencies, and even private citizens’ groups. Whether investigatory or preliminary to action, public hearings seek input from interested citizens and organizations, primarily through written or oral statements and testimony. Hearings may be influenced by testifying, promoting attendance at hearings, working with the hearing staff, publicizing the hearings, and seeking on-the-record support for your positions. Appendix IV presents guidelines on how to organize public hearings and how to influence those hearings sponsored by others.

Influencing Appointments to Advisory Boards. Advisory boards are used by many governmental bodies and organizations primarily to get expert or constituent input. Although advisory boards may have no official powers, their recommendations typically influence a

wide range of decisions ranging from the provisions of a proposed regulation or bill to the award of a governmental agency’s contracts and funds. When composed of agency officials, there is sometimes a lot of “back scratching” in making recommendations for funding. You might work for appointment to advisory boards so as to represent neglected viewpoints and priorities. See Appendix V on how to plan such efforts.

Being an Effective Delegation. A delegation is a representative group of your members, perhaps joined by other interested parties, formed for the purpose of meeting with governmental, company, or organizational officials to present your viewpoint and to influence a proposed policy, action, or appointment. Delegations may also be used to give support or to exchange information. See Appendix VI for an action checklist on delegations.

Demonstrating Support and Opposition. Coordinated expressions of support or opposition for a current or proposed policy, action, situation, event, institution, individual, or group are sometimes powerful advocacy strategies. They may be used to influence legislators and public officials or to educate the community. Appendix VII includes guidelines for letter-writing campaigns, circulating petitions, telephone campaigns, and organizing demonstrations. Also included in this appendix are guidelines for getting good turnouts which may be useful for other purposes as well, e.g., conferences, meetings, exhibits, fairs.

Election Campaign. There may be bond, proposition, and referenda elections involving issues that fall within your interest. You may, on your own or as part of a community coalition, take responsibility for organizing campaigns in these elections. Tax exempt groups can participate only in campaigns involving issues rather than candidates. If you do not have nor need a tax-exempt status, you may also want to work toward the election of candidates sympathetic with your interests. Appendix VIII presents guidelines on planning campaigns.

Taking Legal Action. The court system provides you with an important avenue of action in some cases. For example, to make your local, state, or national government perform or refrain from performing a specific act or program of acts, you may use legal action including mandamus and injunctions. You may also bring legal action against private corporations, organizations, or individuals. Sometimes you will produce equally satisfactory results simply by threatening to take a dispute to court where it can be publicly examined. If the target

of your threat does not want this type of attention, fruitful negotiation may promptly get underway.

Short of filing a suit on your own initiative, you sometimes may find it appropriate to seek the permission of the court to enter a lawsuit as an *amicus curiae* (friend of the court). This technique is used when an individual or group wishes to present to the court legal arguments, facts, or other information that may not have been included in the positions of the parties to the lawsuit.

There are many legal complexities involved in filing suits or becoming an *amicus curiae*. Seek the advice and assistance of a lawyer who can frame your case in the best way possible for your purposes. There are also many expenses.

If and when your group seeks action through the judicial system, note that some of the methods commonly used in trying to influence action in the executive and legislative branches of government do not apply. For example, a letter-writing or telephone campaign is generally considered an improper tactic if aimed at judges.

Defensive Advocacy. If you are involved in community action, particularly if you are seeking to change the way power has been distributed and used, you must be prepared for opposition and hostility. When you want to change the way things have been done, you must realistically expect some people to be unhappy about, and to question and attack, your actions. Your motives, financing, goals, and perhaps even sanity may be publicly questioned. This is the reality of public action and community change. Although much change and progress may occur without controversy, some does not. The first line of defense against opposition or hostility is to take preventive measures to minimize the chance of its surfacing. If that fails or is impossible, you must be prepared to meet the opposition or hostility head on or to counter it. In both cases, it is

important to realize the value of "neutralizing" or "defusing" the opposition, even if the opponents cannot be defeated or converted. Appendix IX presents guidelines on how to head off opposition and how to deal with hostility and attacks.

Defense groups like formally established boards and committees can help to protect you from unjustified attacks and to develop community acceptance of your work.

Endorsements (expressions of support or approval) of your group or project by influential groups or individuals can be used:

- to influence other people to support your position;
- to provide recognition and "spiritual" support to your group members; and
- to add momentum to the effort.

When attempting to get endorsements, the following points may prove useful:

- Identify individuals or groups whose endorsements would help you generally or with specific groups or organizations that you want to "win over."
- Ask for the endorsement as they are seldom given spontaneously. Tell the person just what you want endorsed and, when appropriate, how you want the endorsement, with suggestions of the wording that would be most helpful. Request the endorsement well ahead of the time you most need or want it. If you are to make some commitment in return for the endorsement, make sure it is worth the effort and acceptable to your members.
- Get the endorsement in writing, on tape, or on film. You may need to verify that the endorsement was indeed made.
- Publicize the endorsement particularly among groups who are likely to respect or respond to the endorser.

Always be sure to thank the endorser even if you feel he could have done a better job. If you are not satisfied with the endorsement, don't draw attention to it.

NOTES

1. Much of the material in this section came from: Jane M. Wickie and Barbara L. Hartman, "Coalition Building" in *Let Us Catch Ourselves a Villain* (Baltimore, Md.: Models of Delivery Systems, Inc., 1976); and American Association of University Women, *Tool Catalog: Techniques and Strategies for Successful Action Programs* (Washington, D.C.: AAUW, 1976), Chs. 54 and 55.

2. Much of the material presented in this section was adapted from: American Association of University Women, *Tool Catalog*, Ch. 3.

Appendix I

Legislative Relations

- A. General Guidelines for Legislative Relations
- B. How to Gain Approval of Legislation
- C. How to Visit Your Legislator
- D. How to Write Your Legislator

Appendix I A

General Guidelines for Legislative Relations

Legislative relations refer to all contacts you have with members of local, state, and national legislatures. Although specific procedures may differ at different governmental levels, the same principles generally apply. The purpose of legislative relations may be:

- to obtain approval and funding for programs and laws that will assist in meeting goals,
- to influence proper implementation and administration of laws you support, and
- to publicize issues.

Action Checklist

Preliminaries: Before the Legislative Session

1. Learn the legislative process.
2. Meet your legislators as early as possible.
 - Get to know your legislators and other political leaders personally by inviting them to your social functions, by attending theirs, and by inviting them to speak at your meetings, especially on subjects related to your concerns.
 - Learn about their interests, pet projects, accomplishments, goals, vulnerabilities, and legislative record on issues. Use this information to establish a good, informal relationship built on mutual helpfulness.
 - Get to know the legislators' staff members, especially administrative and legislative assistants, who have enormous influence with legislators and are generally more accessible.
 - Get to know staff members of pertinent legislative committees.
 - Have advisory board members and friends contact their legislators on your behalf.
 - Add legislators and key staff members to your mailing lists.
 - Appoint legislators to your advisory board.
3. Concentrate and coordinate your efforts.
 - Choose a maximum of four priority measures per session. Concentrate your efforts on these.
 - Identify other organizations that seek similar legislation and investigate future joint action.
 - Establish a procedure which enables you to mobilize your members quickly when emergency action is needed. Be ready to generate telephone calls, letters, telegrams, and even a turnout on short notice.

Doing It: During the Session

1. Inform yourself. Be certain that you fully understand your position and the issues involved before approaching a legislator. Be sure you know and can counter the opponents' arguments. Learn the legislative schedule for your priority measures and be familiar with the structure and membership of the committees that will consider these measures.
2. Inform your members and the public of the issues, the time schedules, and new developments. Send articles and letters to newspapers, calling attention to legislative activities.
3. Inform your legislators early of your position on priority issues before they make commitments that conflict with your views. Contact your legislators before hearings and floor action. If they are on the committee considering a bill, contact them before the committee takes final action on the measure.
4. Visit the legislature to learn more about its proceedings and to show legislators that you are personally observing their actions.
5. Assist your legislators by helping prepare statements or doing research on your priority measures.
6. Know your allies in the legislature and give them as much assistance and support as possible. They may reciprocate by introducing bills you favor, testifying at hearings, and influencing other legislators.
7. Always provide completely accurate information to legislators. Never deliberately provide misleading or false information.
8. Know and follow the applicable lobbying registration and reporting requirements. They are available from state officials.
9. Focus on preliminary stages of legislation, such as drafting and committee action, when its detailed provisions are formed and before many legislators have taken immutable public positions on the measure. Relatively few changes are made in a measure once it is reported out of committee, and very few legislators change their votes after taking a public position on a measure.
10. Never threaten legislative opponents. You may need their support in the future.
11. Form coalitions. Whenever possible, work with other groups to demonstrate widespread support for a measure. (See text section on coalitions.)
 - Solicit support for priority measures from organizations with similar interests, even if the specific measure is peripheral to their interests. Be prepared to demonstrate to such organizations the value of the measure to their members and to help prepare their statements in support of these measures.
 - Whenever possible, cooperate with representatives of groups affected by a measure, particularly groups that could oppose it. Legislators are more likely to act favorably when they see a consensus among groups affected by a measure, especially among groups that would normally be considered opponents or rivals (e.g., blacks and whites, consumers and businessmen, city dwellers and suburbanites).

12. Be discreet. Never quote one legislator to another. Do not discuss your lobbying activities unless it is necessary.
13. Be realistic.
 - Don't expect a legislator to take a stand on an issue until he or she has had a chance to hear both sides.
 - Be aware that a legislator may have to vote for a bill because it is basically good or important even if it contains some unsatisfactory provisions.
 - Be aware that sometimes certain legislators cannot support you if they wish reelection. In these cases, avoid confrontations that would encourage the legislators to oppose your position; encourage them to remain neutral instead.

Evaluation and Follow-Up

1. Thank legislators for their help.
2. Inform your members which legislators helped and supported your cause. Be sure the legislator is aware of your efforts in this area.
3. At election time, inform members of their legislators' records so that they can support legislators who support your goals.
4. Evaluate your efforts to find out why bills you supported may have failed and what you can change in the next session to overcome obstacles, switch votes, or counter your opponents' moves.
5. Start preparation early for the next session.
6. Monitor the administration of the laws that passed.

Sources for Further Information

1. The Association of University Women has numerous leaflets, brochures, books, and newsletters related to legislative action. Contact them at 2401 Virginia Avenue, N.W., Washington, D.C., 20037. Phone 202-785-7700.
2. The League of Women Voters has issued many publications about Congress, the Federal government, and tools for effective lobbying on the local and state levels. Write them for a publications catalog at 1730 M St., N.W., Washington, D.C., 20036.
3. Weintraub, Judith F., ed., *Symposium on Status Offenders: Manual for Action*. 1976. National Council of Jewish Women, 15 East 26 St., New York, N.Y., 10010. This manual includes an excellent chapter on how to lobby effectively.
4. The Association of Junior Leagues, Inc. *Public Affairs Resource*. 1976. This manual thoroughly covers issues related to legislative action, bill analysis, lobbying, and other advocacy tools. Write the Association at 825 Third Avenue, New York, N.Y., 10022.

Appendix I B

How to Gain Approval of Legislation Action Checklist

Preliminaries

1. Locate at least one legislator who will introduce or has introduced a bill that will satisfactorily

resolve the pertinent issue. Offer to provide support and assistance to this legislator. In some cases, a legislator may already be considering introduction of a bill in your area of concern. In other cases, you may have to seek out a sponsor.

- Assist in drafting legislation, if necessary. Be willing to compromise a little to get a bill which is feasible. The important thing is to get the principle enacted first; refinements can be made in future years.
 - Identify legislators who would favor the legislation, particularly leading members of both political parties, such as ranking members and the chairpersons and members of the committees that would consider the bill. Ask these key legislators to introduce your bill. If they agree, provide necessary background information including introductory remarks and examples of similar legislation in other states. A bill's sponsor is often as important as its content.
 - Try to get as many members of both political parties as possible to introduce or cosponsor your proposal, whether in its original form or in a form offering a different approach to resolve the same issue. Before the elections, ask both political parties to support your specific measure in their platform.
2. Learn the legislative schedule for introduction of bills, holding of hearings, and floor action, and meet all deadlines.
 3. If other versions of the legislation are introduced, study them carefully, looking for details, loopholes, escape clauses, and exceptions that may need attention and reaction. Eliminate duplicate bills in the same house by encouraging sponsors to combine them early in the session.
 4. Try to get your bill considered early in the session to avoid being overlooked in the last-minute rush for adjournment.

Doing It

1. Mobilize your members. Develop information describing the effect of the bill. Inform your members and have them contact their legislators when the bill is introduced, when the bill is under consideration at hearings, and when floor action is scheduled.
2. Mobilize your allies. Determine the effect of the bill on other organizations with similar interests, inform them of your findings, enlist their support in favor of the bill, and assist them in preparing supporting material. If any of your allies has special influence with certain legislators, let them approach these legislators.
3. Follow your bill through the legislative process, concentrating your efforts on members of the body or committee considering the bill at any particular time (e.g., concentrate on subcommittee and committee members when the bill is in their jurisdiction, on each house when it is considering the bill, on the executive when his signature is required). Determine the effects of any changes in the bill and respond accordingly. If there is a minor change which can obtain support for your bill without destroying its effect, assess the changes to be made.

4. Obtain public support. Inform your newspapers of important developments, and write or encourage others to write letters to the editor supporting your position. Send copies of these letters to your legislators.
5. Work with the bill's sponsor(s) to provide visible support at hearings and at sessions where the bill is debated. (See Appendix IV on public hearings.)
6. Contact legislators through their constituents whenever possible.
7. Be alert throughout the session for surprise efforts to weaken or kill the bill. An amendment strengthening your bill so much that it becomes impractical to finance or administer can be as crippling as one emasculating it. Be prepared to act instantly when your bill is threatened.
8. If you oppose a bill, proceed as above, but remember to offer facts and reason, not threats and exaggerated fears.

Helpful Information Sources

See References at end of Appendix I A.

Appendix I C How to Visit Your Legislator

A face-to-face meeting with your legislators, whether at the local, state, or federal level, can be a highly effective way to transmit your views. As with many other cases where you must ask for support, a personal appeal is often the best method to use in communicating with a lawmaker. Visits might be made:

- to introduce your group to your legislator prior to making contact on specific bills,
- to acquaint a legislator with your views,
- to seek support for or opposition to a specific bill or provision, and/or
- to demonstrate public support for a measure by participating in a "mass lobbying" effort in which members of one or more groups simultaneously descend on the legislature. (Note: This tactic may irritate some lawmakers, but it can demonstrate your strength and get your point across.)

Action Checklist

Preliminaries: Planning the Visit

1. Make an appointment in advance. Make clear that you want to discuss issues. Specify alternative times and dates. If you find yourself in your capital city with some spare time, stop in your legislator's office anyway. If the lawmaker is in, he will probably interrupt his work long enough at least to greet you, but chances are he will not have time for a substantive discussion with you. You may also be able to chat briefly with an aide.
2. Time your visit to have maximum impact on the issues about which you're concerned.
 - Try to reach your legislator before his opinions have been solidified and he has taken a public stand on the issue.

- If you're trying to reinforce earlier work or to influence a vote, plan your visit for shortly before the vote, but choose the right vote to discuss. A committee vote or a vote on an amendment may be more important than the vote on final floor passage.
3. Be aware of your legislator's schedule, as explained below, so you can visit when he is most likely to be available.
 - Important legislative business is usually conducted Tuesday through Thursday, freeing lawmakers for long weekends back home.
 - The best times to catch your legislator in his office are early or late in the day, before or after committee meetings and legislative sessions.
 - If you cannot see the lawmaker in his office, you may call him off the floor or out of a meeting. Unless an important vote is under way or imminent, he should be able to see you briefly.
 - The closing days of a session are hectic and not usually advised for a legislative visit. If, however, consideration of a measure about which you are concerned was postponed until the end of the session, you may want to join the confusion.
 - Legislators have large constituencies, especially U.S. Senators, and are relatively hard to see personally. (See item 6 below.)
 4. Plan your interview in advance.
 - Research your legislator.
 - Look for actions you can praise.
 - Learn his voting record so you can talk specifically about his actions.
 - Research your subject(s).
 - Obtain background information from other organizations which may be interested in the issue.
 - Look for specific examples you can cite to show the significance of the subject and the concerns of voters.
 - Learn the positions of other groups on the issue. Know who supports and who opposes action you advocate.
 - Find out what specific legislation related to your issue is pending (with bill numbers if possible).
 5. Reconfirm your appointment just before you plan to set out for the legislator's office. Legislators' schedules are subject to many last-minute changes, and you may have to change the time you have set.
 6. Plan to meet with key staff assistants in addition to, or instead of, the legislator. Legislative and administrative assistants are most important conduits for your views. If you impress or persuade them, they will help "sell" your position to the legislator. They may also be more accessible for follow-up contacts.
 7. Prepare some written materials you can leave behind at the end of your visit. Get reprints of relevant articles and position papers, or prepare a memo or short fact sheet summarizing your main concerns.

Doing It: The Visit

1. Be on time and don't overstay. Get down to business quickly. The legislator has many demands on his time. Unless you have made special

arrangements in advance, plan to get all your points across in 10 to 15 minutes.

2. Adopt a friendly, constructive, positive attitude rather than a hostile, belligerent, or uncompromising one. Never threaten. Avoid arguments. Leave the legislator with a friendly feeling, even if he turns down your request for support.
3. Mention areas of agreement. Commend the legislator for past actions or announced positions of which you approve.
4. Back up your views with specific, personal examples to show the legislator how the issues affect his constituents. Factual reports of what others "back home" are thinking carry a lot of weight with most legislators.
5. Give the legislator a chance to talk. You may be surprised at what he knows and asks.
6. Ask the legislator to do some specific things like sponsoring a bill, voting for or against a pending measure, meeting with your group when he returns home, or introducing you to other legislators interested in your issue. Legislators generally like to be of service to constituents in this way.
7. Try to prevent a legislator from committing him or herself against your position. Leave him undecided rather than committed to the opposing view. If you leave the door open, you may later be able to win his support with a better argument you find.
8. Give the legislator some written materials summarizing your main points. Don't assume he has seen articles you have. If he wants further information, offer to provide it.
9. Try to meet the legislator's key assistants while you are in his office.

Evaluation and Follow-Up

1. Write the legislator to thank him for his time, to remind him of anything he may have agreed to do and to send him any additional information.
2. Report to your group on the results of your meeting. Share any insights you gained about the legislator's attitude and concerns. Make sure private commitments are not prematurely publicized, however.
3. Develop an ongoing relationship with the legislator through further additional visits and correspondence.
 - a. Invite the legislator to meet with your group.
 - b. Keep him informed of developments related to the subject of your visit. Send news clippings or other information that may bolster your arguments.

Helpful Information Sources

1. Cooperative League of the U.S.A. "*Calling on your Legislator.*" Flyer available from CLUSA, 1828 L St., N.W., Washington, D.C., 20036.
2. Friends Committee on National Legislation, "*How to Visit your Congressman.*" Flyer available from the FCNL, 235 Second St., N.E., Washington, D.C., 20003.
3. See Appendix VI on being an effective delegation.

Appendix I D

How to Write to Your Legislator

A personal letter is one of the best tools available for communicating with a legislator. It can let the legislator know your views on an issue and encourage him or her to vote in accordance with your wishes. It can also help the legislator to take a more courageous stand on certain issues by demonstrating the existence of a climate of articulate public support.

Because of the greater time and effort required to compose it, a well thought out letter is generally given more weight in a legislator's office than communications like postcards, form letters, petitions, telegrams, or telephone calls. Letters are most effective when directed at the legislators from your own district.

Action Checklist

1. Write as often as you are concerned about current issues. Once a year is definitely not enough.
2. Always send personal letters. Do not use or copy from form letters. Type or handwrite your letters. One original letter is said by some to count as much as 100 form letters.
3. Write to your legislator at his office rather than his home.
4. Write at the right time. Time your letters to arrive near the time a bill is introduced and just before votes. Try to reach your legislator before his views are solidified and he has made an irrevocable commitment to support or oppose the legislation about which you are concerned.
5. Be brief and to the point.
 - Discuss only one subject per letter. If you are writing about a bill, give its name and number if you can.
 - State the purpose of your letter right at the start.
 - Keep your letter to one page, summarizing your main points. You may enclose background material with additional details.
6. Write to commend as well as to criticize or to ask for something.
 - If a legislator has voted courageously or taken a controversial stand of which you approve, show your support and appreciation.
 - Even if your letter is to request action or register a complaint, try to begin with or include a commendation.
7. Focus on legislative issues likely to be given serious consideration. Be realistic in what you ask.
8. Learn what committees your legislator serves on. If you are interested in their work, let your legislator know. Since many legislative provisions pass on the floor in essentially the same form in which they emerge from committee, your letters at the committee deliberation stage may be more important than later ones.
9. Spell out the reasons for your opinions.
 - Explain how proposals under consideration would affect you, your family, your work or your community. Personal experience is

among the most important evidence you can provide a legislator.

- Send your legislator reprints or other information to back up your views, but **never** send copies of the form letters or other exhortations to write that you may have received.
 - Be fair and factual with your subject matter. Don't exaggerate.
10. Ask your legislator for a statement of his position. As a constituent, you are entitled to know it. If he has no position, your questions may help him formulate his position, but at the same time don't demand that he take a public stand before he has all the facts — pro and con.
 11. Don't degrade your legislator or your opposition and don't impugn their motives.
 12. Never threaten to vote your legislator out of office, even if he disagrees with you.
 13. Keep a copy of your letter for future reference.
 14. Include your address and sign your name legibly.
 15. After your legislator answers your letter, send a follow-up letter. If he has agreed with your position, thank him and ask him to take a leadership role in the legislature on this issue. If he has not committed himself or if he has indicated disagreement, send additional information to try and win him over to your position.

Helpful Information Sources

1. See the sources listed under Appendix I A on general guidelines for legislative relations.
2. Friends Committee on National Legislation. "How to Write your Congressman and the President." Flyer available from FCNL, 245 Second St., N.E., Washington, D.C., 20002.

Appendix II How to Influence Administrative And Regulatory Agencies

Administrative and regulatory agencies can yield as much power as legislative bodies. While laws are written by legislators, their implementation is the responsibility of these agencies. Regulatory agencies are often considered a fourth branch of government because they combine legislative, administrative, and judicial functions in carrying out their responsibilities. You may want to influence such bodies for the following reasons:

- to make certain that laws you support are being adequately administered,
- to make certain that appropriations for laws you support are being spent properly,
- to inform the agencies that members of the public, as well as special interest groups, are concerned about their actions, and/or
- to influence appointments to agencies that have responsibilities in your areas of interest.

Action Checklist

Preliminaries

1. Identify the administrative and regulatory agencies that deal with programs of interest to your group.

2. Identify available members to scrutinize the actions of those agencies.
3. Determine priority programs that should be carefully watched. List other programs you wish to follow in less detail.
4. Ask to be added to the mailing list of agencies with programs you wish to follow. Many agencies issue announcements of pending and past actions for release to the press. These announcements are more easily understood by the general public than the more technical pronouncements published in public records such as the *Federal Register*.
5. Make friends at the agencies involved. Your friends need not be top officials. They should be knowledgeable about technical matters and/or pending announcements that could affect you. If you have such friends, you can call on them when you need information and they can notify you when anything of interest to you occurs.
6. Work with legislators interested in the same subject and inform them of your interests.
7. Work with other organizations with similar interests.

Doing It

1. Organize an observer corps and a monitoring project when possible. (See Appendix III.)
2. Keep informed about agency action. Read agency releases. Try to get notification from friends in the agency when a pending agency action could affect you. Use reports from observers or monitors.
3. Stimulate open sessions. "Executive session: action may be used to make or to consider policy, or even to hear witnesses." You cannot monitor sessions you are prohibited from attending.
4. Work with experts. If you are to influence their actions, you must understand their subject matter. Call upon experts to explain anything you do not understand. These experts could be employees of the agency, members of your group or an advisory committee, or individual consultants in your community.
5. Influence appointments to regulatory and administrative agencies. Many of your problems will be resolved if a person who favors your viewpoint heads the agency or can be represented on, and influential in, an agency advisory board. (See Appendix V.)
6. Maintain contact with legislative and appropriations committees with jurisdiction over the agency. These committees have "oversight" responsibilities to make sure that the agency is properly administering the law. If you find that the agency is not following its mandate, report this to friendly legislators and committee staff members. Their actions will bring pressure on the agency and publicize your position. Be prepared to testify if necessary.
7. Testify in favor of appropriations for agencies when you support their programs. This will win friends at the agency and publicize programs you support. Send copies of your testimony to officials at the agency. If you support the programs but feel they are being improperly administered, include this view in your testimony and send it to the appropriate officials. You

may lose some agency friends, but you will make your presence felt and perhaps reform agency spending patterns.

8. Be prepared to testify when an agency proposal could affect you or your position. If oral testimony is impossible, submit written statements and solicit statements from your allies. Administrative action favoring special interests is too often approved without any comments from citizen groups.
9. Notify the "parent" agency if you find fault with the local administration of a program. Go through the agency channels before you bring further action, unless time is important and this procedure would be too slow.
10. Bring or threaten legal action against the agency if all other measures fail.

Evaluation and Follow-Up

1. Maintain your contacts at the agencies even if you are not immediately concerned about a program at that agency.
2. Help generate new jobs or public support for any agency employees who are harassed or dismissed in retaliation for helping you.
3. Work for remedial legislation if your efforts reveal shortcomings.

Helpful Information Sources

1. National Center for Voluntary Action, 1785 Massachusetts Ave., N.W., Washington, D.C., 20036. Program descriptions on advisory bodies to governmental agencies are available.

Appendix III Monitoring

Appendix III A How to Operate an Observer Corps

An observer corps is a group of people who regularly attend and monitor sessions of local governing bodies, boards, committees, or courts. Some observer corps see themselves as nonparticipating, impartial viewers; whereas others add advocacy roles to their functions, encouraging their members to speak out and join in discussions where possible. Observer corps may be used:

- to obtain current, first-hand, detailed information on what takes place at meetings of decision-making bodies (to share with group members and the community, supplementing press coverage);
- to gather information that will help prepare testimony for presentation at a subsequent meeting of the group being observed;
- to obtain documentation for reform proposals;
- to learn of new action possibilities;
- to educate citizens and observers about governmental procedures;
- to be sure official procedures are being followed;
- to make officials more conscientious in their work; and/or
- to discourage and counteract government secrecy and abuses.

Action Checklist

Preliminaries

1. Find out when and where the body that you want to observe holds its meetings.
2. Learn if any other organizations have similar observer projects. Coordinate rather than duplicate efforts.
3. If there are any obstacles to observing sessions and taking notes, launch a campaign to have the meetings declared open to the public.
4. Recruit volunteers who will share the job of observing the sessions. Give regular volunteers the responsibility of finding their own substitutes on days they can't attend.
5. Plan schedules and assign volunteers to specific sessions. Make sure all sessions in which you are interested are "covered."
6. Learn what the body or officials to be observed may and may not do under their official procedures or by law. For example, find out the procedures for casting votes in legislative bodies and what judges may do in specific courtroom situations.
7. Prepare an evaluation-reporting sheet and guidelines for the observers to use in recording their observations.

Doing It: Observing Sessions

1. Arrive on time, or if possible, a few minutes early.
2. Introduce yourself as a member of the observer corps to the chairperson of the body you will be observing.
3. Obtain a copy of the agenda and of any background materials prepared for the meeting. The "clerk" or "secretary" to the body will generally be able to provide these. If not, check on the press table, where information is placed for reporters, to see if there are any extra copies there.
4. Take detailed, factual notes so you will have a record of what took place and so you will be able to report afterwards on what happened. Include in your notes things such as the nature of participation and comments by each member of the group, the votes for and against each proposal considered, and the subjects in which each member showed an interest.
5. Encourage other people to attend sessions with you. Having a spouse, relative or friend to compare notes with will make the session more enjoyable for you, while the additional observer will help show the participating officials that there is citizen interest in their actions.
6. If your observer corps operates on a philosophy of nonpartisan noninvolvement:
 - Be seen but not heard while observing.
 - Don't display any reaction to discussions or actions taken by the body while you are observing.
 - Never discuss political or legislative matters (with the group as a whole or any of its members) while you are observing.
 - Refuse requests to give your group's view, answer questions, or otherwise participate unless you have made prior arrangements with your group to do so.
7. If your observer corps tends towards partisan action and involvement:

- Take advantage of all opportunities to make your group's positions known.
- Make known your reaction to events. Your expressions while you're observing and conversations with participants afterwards can convey your feelings.
- Object if you see violations of procedures. You might want to interrupt the proceedings, or you might want to notify the press, file a formal complaint, or work with an ally on the body you are observing to call attention to the abuse.

Evaluation and Follow-Up

1. Arrange to receive a copy of the minutes of the meeting for your group's files and for comparisons with your notes.
2. Check the official transcript, if there is one, for the meeting you attended to compare what you observed with what was recorded. Note especially if the actions to which you objected are accurately reported. If they are not, work to get the record corrected.
3. Report your findings to your group, making sure that group leaders are immediately informed of any developments at the meeting requiring their attention or other follow-up action. If your group has collected information that would have a bearing on an item set for the next meeting of the group observed, for example, the information should be submitted to them in time to be considered.
4. If your observations documented abuses, discuss the problems with the officials involved to see if they are willing to make needed reforms. If they are uncooperative or unresponsive, use appropriate action tools such as demonstrations, publicity, letters, and visits to your legislators to try bringing about the reforms.

Appendix III B How to Monitor

Monitoring means keeping tabs in a "watchdog" manner on the performance of a government agency or other type of organization to see if and how it meets its responsibilities. As with an observer corps, a monitoring project can either stop short of making any direct attempts at reform, or it may include such attempts. Law monitoring may be used:

- to be sure a law is implemented and enforced after passage,
- to create pressure on enforcement authorities to give priority to specific tasks or aspects of their programs,
- to identify inadequacies in existing laws or institutions and to build a case for reforms,
- to lay a groundwork for follow-up publicity, pressure, negotiations, or even litigation aimed at eliminating abuses in the area monitored, and/or
- to see if news coverage of a controversial issue has been fair.

Action Checklist

Preliminaries

1. Learn all you can about the organization you intend to monitor.

- Find out its budget, the deadlines, and other constraints under which it operates, its priorities, and its decision-making process.
 - Identify the specific individuals and offices which have the responsibility for making (and changing) policies related to your monitoring area.
 - Identify individuals, groups, and other factors which could influence the behavior of the organization.
2. Determine the performance standards you feel the organization monitored should meet. These standards may be spelled out in a law, or your group may decide after study and discussion with the persons affected that the standards are those to which the organization ought to adhere to be effective.
 3. Let the organization know of your interest in its activities. Knowledge of your intention to monitor may be an incentive to upgrade performance.
 4. Stay informed about the activities of the organization.
 - Ask to receive all documents issued and get on its mailing list.
 - Identify sympathetic insiders as well as former employees and others with knowledge of the organization who may be able to keep you informed.
 - If the organization operates in secret and refuses to provide you with current information, make a public issue of its secrecy and consider legal action. Meanwhile, try to develop informal sources of information like sympathetic insiders.
 5. Devise a system to record information you gather about the agency. If more than one person is participating in the monitoring activities, be sure all are using compatible record-keeping systems.

Doing It

1. Check regularly on the actions of the organization. Contact the agency involved, attend meetings it sponsors, read its publication, and interview staff members and beneficiaries of its programs to see if and how the agency meets your standards.
2. Keep detailed records of all contacts made with the agency, documentation collected, and correspondence. Because these materials may ultimately be used in a lawsuit, consider grouping monitors in teams of two to provide witnesses for conversations, interviews, and fact-finding expeditions.
3. Analyze your findings to identify the source of any problems uncovered. If a government agency is not providing as many school lunches as are needed, for example, determine if the reason is a lack of funds, interest, staff, competence, food, or transportation.
4. Prepare periodic reports summarizing your findings. Try to include a prescription for action that would improve the organization's performance. Distribute these reports to organization officials, group members, individuals and other groups that have an interest in or are affected by the organization's activities. (See Appendix II.)

Evaluation and Follow-Up

1. If you are displeased with the organization's level of performance, call the problems you have found to the appropriate officials' attention. Give them a chance to review your findings and to respond. However, always ask for responses by specific dates, and put your requests in writing.
2. Build up public pressure on the organization to improve its performance or change its ways. Among the ways to do this are the following:
 - Keep the press informed.
 - Increase the demand for its services. Provide effective publicity, and help citizens exercise their rights.
 - File formal petitions or take other legal action asking that the organization conduct its business actions differently.
 - Plan letter-writing or telephone campaigns to the organization or to persons in a position to influence its behavior.
 - Inform sympathetic legislators who may threaten or schedule a hearing or investigation.
 - If you fail to get a satisfactory response from them, go over the heads of the individuals responsible for the policies or actions of which you disapprove. Try to get their superiors to approve a change in procedures.
 - Consider, threaten, or carry out demonstrations.
3. Be ready to negotiate, but only with officials who have the power to effect needed remedies.
4. If inadequate legislation is the root of the problem, work to change the law. This may mean amendments to or repeal of existing law or perhaps passage of additional legislation.
5. Prepare for litigation and follow through if necessary. Often the threat of legal action, backed up by a visible lawyer, will result in policy changes.
6. Continue your monitoring activities.

Appendix IV Public Hearings

Appendix IV A How to Organize a Public Hearing

A public hearing could be sponsored by your group or sponsored by a friendly official or legislator and arranged by your group. The purposes might be:

- to dramatize an issue,
- to mobilize support or opposition to an issue,
- to educate the public or the hearing sponsor,
- to get facts and views on the record, or
- to provide an opportunity for conflicting interests to face each other in public.

Action Checklist

Preliminaries

1. Set time, date, purpose, and place, obtaining necessary facilities for the hearing.
2. Establish a hearing panel. If group members will be on the panel, appoint informed, alert members. Get commitments from participants to attend.

3. Set policies regarding selection of witnesses, order and time limit for prepared statements. Prepare a form to send to witnesses with this information, along with any additional requirements such as length limitations, necessity and deadline for advance submission of testimony, number of copies of testimony required.
4. Invite persons or organizations that you wish represented to prepare testimony. You may have to help them research or write their statements.
5. Publicize the hearing to insure both a good turnout from the public and coverage by the press.
6. Hold the hearing jointly with another organization, if possible, and let it help publicize the hearing.
7. Prepare a list of witnesses in the order they are to speak. In planning the hearing schedule, allow sufficient time for testimony, questions and audience participation, if desired.
8. Require advance submission of testimony and prepare questions to be asked, if desired.

Doing It: The Day of the Hearing

1. Arrive early to set up facilities. Make sure that the microphones work, the lighting is appropriate, the temperature of the room is comfortable, and the seating arrangement is appropriate.
2. Have the chairperson open the hearing with a statement of purpose and procedures.
3. Call on witnesses one by one, following your previously announced procedures. Do not deviate from your procedures without the consent of everyone involved in the hearing.
4. Allow the hearing panel to ask questions after witnesses testify if your procedure includes provision for a question-answer session.
5. Invite interested members of the audience to comment if time allows and you desire their involvement.
6. Notify unrepresented press of the hearing's events in time for their deadline. If you receive testimony in advance, you may wish to summarize it for press use.

Evaluation and Follow-Up

1. Thank witnesses for attending.
2. Issue a report based on the hearing, with recommendations for action.
3. Send the report to witnesses and to the press, along with an appropriate press release.
4. Organize follow-up activities designed to produce implementation of the recommendations.

Appendix IV B How to Influence Public Hearings

Public hearings are sponsored by legislative committees, school boards, administrative and regulatory agencies, and even private citizens' groups. Whether investigatory or preliminary to action, public hearings seek input from interested citizens and organizations, primarily through written or oral statements or testimony. Influencing hearings includes testifying, promoting attendance at hearings, work with the hearing staff, publicizing the hearings, and seeking on-the-record support for your positions. You might want to influence public hearings:

- to present your viewpoint,
- to present information which will aid the hearing body,
- to assist in resolving issues in accordance with your policy,
- to publicize support for your positions, and/or
- to influence decision-making by demonstrating public interest in proposal or issue.

Action Checklist

Preliminaries

1. Get on the witness list. In many cases this must be done before a specified date in advance of the hearing. In some cases, witnesses appear by invitation only.
2. Determine details of the scheduled hearing, including its purpose; the name and chairperson of the sponsoring group; the time witnesses will be allotted; the requirements for submitting advance or extra copies of testimony; location, time, and date of the hearing; and the witness list, if available.
3. Attend other hearings conducted by the same body, especially earlier hearings on the same subject, to familiarize yourself with its procedures and personalities.
4. Form a working relationship with the committee staff members. If your relationship is sufficiently strong, you may be asked to help prepare either friendly or hostile questions for members of the hearing panel to pose to various witnesses, including yourself.
5. Coordinate your testimony with allies to avoid duplication of efforts and embarrassing inconsistencies. You may wish to testify as a panel, dividing specific aspects of the problem. Name a "floor leader" to coordinate your efforts.
6. Learn which opponents are testifying so that you can counter their positions. Listen to their testimony and prepare rebuttal material.
7. Arrange for back-up efforts from members and allies, including phone calls from constituents to committee members, letters and statements for the hearing record, and personal contact with committee members.
8. Prepare your statement.
 - Determine your approach to the issue. If the hearing is on a specific proposal, you may wish to support or reject the entire proposal or specific parts of it.
 - Research the issue, attempting to discover and use specific examples and statistics that illustrate the value or potential harm of the measure. Examples from the constituency of the members of the hearing body and from your members are especially useful.
 - Gather information on similar programs in other areas and their results.
 - Study the proposal for loopholes, or unintended or undesired consequences.
 - Avoid ridicule or sarcasm. Unless you are seeking publicity and are certain that your witness can handle this approach, ridicule and sarcasm can endanger your chances of ever influencing the committee and the public.
9. Select the best possible witness and write the statement for him or her. Be sure to select an articulate spokesperson. If your group includes a community leader or famous person, he may be willing to speak on your behalf if you prepare his statement. An influential friend rather than a group member may be used.
10. In your statement, do the following:
 - Cite the name of the hearing body and the date of your statement in the title.
 - Identify the spokesperson and your organization, providing only enough information to clarify your interest. You can attach a brochure or statement giving your history and philosophy, but do not use valuable hearing time for this purpose.
 - Identify the measure on which you are testifying, using title and number where appropriate.
 - Thank the committee for the opportunity to present your views.
 - Summarize your points clearly, leaving no doubt about your position.
 - Give specific examples and statistics to back up your arguments.
 - Offer to answer questions or produce more detailed information to support your statement, especially if time is short and you can present only highlights.
 - Attach to your statement additional details, back-up material, texts of studies, etc. that would be helpful to the hearing body or its staff.
 - Use visual illustrations, such as graphs or charts, to emphasize important points wherever possible.
11. Make sure your statement is not too long for the allotted time. If you have lengthy examples and information, prepare an abbreviated version to be delivered orally and a longer, written version to submit. If your statement is long, prepare a summary.
12. Make sufficient copies of the statement for intended uses, including copies for committee members and staff, the press, key members of your group, and other interested groups.
13. Determine whether copies of your statement must be submitted in advance and submit them, if required. This enables members of the hearing body to be informed of your position and question you on pertinent matters.
14. Prepare a news release for distribution to the press in time to be publicized. Reporters often leave hearings early but may report on testimony that is properly summarized for their use.
15. Practice answering any potential questions, including "nasty" ones.
16. Notify committee members of your position before you testify.
17. Build up attendance at the hearing. You may wish identifying material, such as buttons, for group members or other supporters attending the hearing. Bring enough for general distribution.
18. If you are testifying at a legislative hearing and if the legislator from your district supports your viewpoint, see if he will introduce you personally to the committee. This will facilitate a good reception by the committee and emphasize your position on the measure.

Doing It: At the Hearing

1. If you are in the audience as part of a turnout effort, pay attention, be courteous, applaud or not as appropriate, and stay for as much of the hearing as possible to counterbalance the physical presence of the opposition.
2. If you are testifying, relax. Do not panic or get flustered. If you are asked a question you cannot answer, offer to submit an answer later for the record. You may want to bring an expert with you to answer any technical questions. Try to reserve an opportunity to rebut the opponents' testimony. If they testified earlier in the hearings, you may be able to add this rebuttal to your prepared statement. Be prepared to summarize your statement or submit it for the record if too many witnesses are scheduled for a short time period.

Evaluation and Follow-Up

1. Reply promptly to questions you could not answer at the hearing but offered to answer for the record.
2. Submit any additional rebuttals to your opponents' statement and request that they be included in the hearing record.
3. If you were unable to present oral testimony, submit written testimony and request that it be incorporated in the hearing record.
4. Distribute your statement to interested or potentially interested organizations and press representatives.
5. Follow the progress of the measure considered so you can continue to make input as it progresses. Check details and watch out for crippling amendments.
6. Save copies of your testimony and the legislative record of your position for future reference. If the bill is defeated, you can use the material the next time around.
7. Write letters of thanks to persons who helped you prepare for the hearing.
8. Report to your group on the results of the hearing. Encourage members to submit supporting letters for the record if these are needed.

Helpful Information Sources

1. AAUW. "How to Prepare Testimony for Public Hearings." In *Power Quotient Bag*. AAUW, 2401 Virginia Ave., N.W., Washington, D.C., 20037.
2. League of Women Voters of the U.S. "Anatomy of a Hearing." Publication No. 108. 1972. Available from the League at 1730 M St., N.W., Washington, D.C., 20036, 35¢.
3. See Appendix I to Chapter 16 for additional suggestions on preparing speeches.

Appendix V How to Get Appointed or Work for An Appointment to an Advisory Board

Advisory boards are used by many governmental bodies and private corporations primarily to get

expert or "constituent" input. Although advisory boards rarely have any official powers, their recommendations typically have a great influence on a wide range of decisions ranging from the provisions of a proposed regulation or bill to the award of a government agency's contracts. While the composition, existence, and activities of some advisory boards remain secret, a growing number of these bodies and their members have in recent years come under public scrutiny and have been challenged for a lack of representativeness and accountability in their actions. You might work for appointments to such boards:

- to increase your group's influence in the agency or corporation,
- to help make policy,
- to be consulted on pending actions that might affect your interests, and/or
- to open up secret proceedings by providing a public presence.

Action Checklist

Preliminaries

1. Determine the structure and function of the advisory board. Find out how many people are on the advisory board, whom they represent, how and when vacancies are filled, and when and where the board meets.
2. If there is no existing advisory board, determine whether and how to work for the creation of one. If the advisory committee created will be dominated by undesirable special interests, it might be better not to have one.
3. Prepare a list of qualified candidates to fill vacancies or to be added as public members of the advisory board.
 - Be realistic in your selection. If politics is a factor, choose people of the right race, sex, residence, and party. Always propose nominees who are fully qualified for the job, even if past appointees were not.
 - Get your candidates' agreement to serve and be involved in a campaign to get the appointment, if necessary.
4. Present your list to people with power to influence or make appointments. This may include the U.S. President, your state governor, state or local legislators, and community and political leaders. It helps to have a working relationship with a member of this person's staff.

Doing It: Working for Appointment

1. Get other groups to support your nominees, even if you have to compromise to get a nominee agreeable to all.
2. Publicize your nominee. Issue press statements and releases. Make appointments to advisory boards an important issue to be watched closely.
3. If the advisory board is advisory to a corporation, get a stockholder to attend the annual meeting and propose your nominee. Study in advance the procedures followed at the annual meeting.
4. If the advisory board consists only of representatives of a single interest group, propose that the membership be expanded to include public representatives.
5. Dramatize the issue if the board is a secret one or holds meetings closed to the public.

- Ask to attend a meeting of the board. If you are refused admittance, notify the press. Try to obtain a written refusal.
- When the board is meeting, go to the meeting place and request attendance, preferably in view of press representatives.
- Work with a friendly legislator who can assist in publicizing the secrecy of the advisory board, particularly if it is advisory to a governmental body. Encourage him to hold hearings or call for hearings on secret advisory boards. Work with the legislator to get witnesses for and to publicize the hearings, if held. (See Appendix IV on public hearings.)
- Threaten to bring suit or actually bring suit to open advisory hearings. (See page 203 on legal action.) Publicize your actions through press releases.

Evaluation and Follow-Up

1. Keep in touch with your appointee so he knows your positions.
2. Make certain that your appointee is attending advisory board meetings and informing you of developments.
3. Give your appointee public support when needed.
4. Work for more public accountability of and representation on the advisory board.

Appendix VI

How to Be an Effective Delegation

A delegation is a representative group of your members, perhaps joined by other interested parties, formed for the purpose of meeting with government, company, or organizational officials to:

- present your viewpoint on an issue or proposed course of action,
- present problems and proposed plans of remedial action,
- exchange information,
- give support, and/or
- influence appointments or policy.

Action Checklist

Preliminaries

1. Determine your goals. Decide what you wish to accomplish at the meeting. Record your decisions for future reference.
2. Limit your requests. Choose a maximum of four specific items. Limit them to subjects which are best documented and where legitimate requests can be developed.
3. Document your presentation. Organize, research, and prepare a written summary of points you wish to discuss, using visual materials such as wall charts, posters, pictures, graphs, or slides to illustrate your presentation. If you plan to display material requiring equipment such as easels, slide projectors, or screens, make sure that these aids will be available.
4. Determine whether the desired results could best be achieved by an individual or a group visit.
5. Identify the people with whom you wish to speak. It is usually advantageous to ask to see the top official involved even if you are only able

to meet with an assistant. In this way, you bring your goals to the attention of the top official and generally get a higher official to hear your appeal.

6. Know your subject. Make sure your information on the specific problems you are going to raise is accurate and complete. If possible, compile a list of specific examples to document your presentation. Be prepared to answer questions.
7. Choose a delegation which is personable and well informed. If your group or advisory committee includes an influential person with close ties to the particular institution with whose representatives you are to meet, try to persuade him to accompany you.
8. Hold a delegation meeting to review specific issues, choose spokespersons for each issue, set an order of presentation, choose a chairperson, appoint a recording secretary, agree on the goals and method of presentation, and decide on any follow-up action necessary. (See page 201 on negotiation and bargaining.)
9. Try to anticipate the reactions you will receive. Use "role playing" and group discussions to develop appropriate responses.
10. Prepare a written summary of your requests for distribution at the meeting, if appropriate.

Doing It: At the Meeting

1. Be on time.
2. Have your chairperson state your purpose and keep the meeting going.
3. Record meeting action, particularly any solutions offered or agreed upon.
4. Urge the official to take immediate action or give an immediate answer, if possible.
5. Request that any promise for action or reason for inaction be put in writing.
6. Stay calm. Do not lose your temper or threaten.

Evaluation and Follow-Up

1. Write the official thanking him for his time, further documenting your points and answering any questions you could not answer at the meeting.
2. Write a report of the meeting for your group.
3. Pursue contacts discussed in the meeting.
4. Bring pressure for follow-up action through the press or legislators, if necessary. (See Chapter 16 on public relations, Appendix I on legislative relations, and Appendix IV on public hearings.)
5. Evaluate your performance, discuss improvements for future meetings, and file these comments for future reference.

Appendix VII

Demonstrating Support or Opposition

Appendix VII A

How to Conduct a Letter-Writing Campaign

A letter-writing campaign is a coordinated effort to send expressions of concern to a legislator, government official, company, newspaper, broadcasting

station, or other leader or institution. Letter-writing campaigns may be used:

- to call attention to a situation needing action,
- to demonstrate popular support or opposition, and/or
- to influence policy actions.

Action Checklist

Preliminaries

1. Determine if a letter-writing campaign would be an effective tool. Its targets should generally be individuals or institutions that desire the good will of the public and, therefore, are susceptible to public pressure.
2. Identify the individuals to whom letters should be directed. Compile a mailing list showing their current titles and addresses.
3. Identify potential letter-writers. Secure their agreement to write letters.
4. Using printed sheets or personal briefings, give the letter-writers instructions.
 - Provide background information on the letter-writing campaign issues.
 - Provide guidance on effective letter-writing techniques. For example, warn letter-writers against making threats, which usually are counter-productive and decrease the likelihood that the recipient will act in accordance with the writer's wishes.
 - Avoid sample letters to eliminate the letter-writers' temptation to copy your words and slogans instead of composing original letters.

Doing It: Conducting the Campaign

1. Distribute letter-writing kits and instructions to writers and encourage them to send off their letters.
 - Organize a "writing pool" of members available to send letters when necessary.
 - Have group representatives distribute post-cards, stamps, and stationery in conjunction with their speaking engagements before other groups. Collect and mail the letters yourself to insure follow-through.
 - Set up writing tables equipped with stationery in shopping centers or other busy, central places. Encourage passers-by to stop and write a letter.
2. Follow up with a telephone call to be sure that all persons who you know received letter-writing materials in fact sent off their letters.
3. Have a letter-writing party, publicized in advance. It could be confined to group members or it could be open to the public.

Evaluation and Follow-Up

1. Ask your members to send you copies of their letters and any answers they get. Study the responses to see whether your campaign has had any effect. A company may respond noncommittally at first, but ultimately indicate a change of policy as letters continue to arrive.
2. Plan additional support or opposition activities to reinforce the effect of your letter-writing campaign.

Appendix VII B How to Use Petitions

A Petition is a statement of position or a request submitted to a responsible authority to ask for or require an action. When submitted to a court of law or certain government agencies, a petition may be signed by only one person. More commonly, a petition is circulated to a large group of people in one or more communities and submitted with as many signatures as possible, with the total reaching hundreds of thousands in organized campaigns. "Legal" petitions require a governmental response, such as placing a candidate or issue on the ballot; whereas informal citizens' petitions are used primarily to demonstrate public sentiment. Petitions may be used:

- to impress legislators or other officials with the number of people supporting or opposing a measure (especially useful to bolster testimony at a hearing);
- to enable people who don't have the time, ability, or desire to write personal letters to express their views (although petitions are considered much less effective than letters since it is so much easier to sign a petition than to sit down and compose a thoughtful letter);
- to educate the community (in the process of soliciting signatures) about an issue; and
- to get a candidate or an issue on the ballot or force a referendum, recall, or other type of election.

Action Checklist

Preliminaries

1. Decide on the purpose of your petition and its content.
2. Draw up the wording. If your petition is to be used for legal purposes (such as getting an issue on the ballot) rather than just as an expression of public opinion, consult an attorney and relevant laws in drawing up the petition in proper form.
 - Word the petition clearly and concisely. Short, affirmative, declarative sentences are most effective.
 - Leave enough room for names, addresses and identifying numbers such as voter registration numbers if needed. If possible, leave room for persons to print as well as sign their names so that you can compile a mailing list.
3. Reproduce enough copies of your petition to be circulated. Consider two versions of your petition:
 - A group petition which can be signed by large numbers of people, largely for use when you approach people on a one-to-one basis.
 - Individual petitions, signed by one person, largely for use when you are in crowds such as classes or meetings where many people should sign simultaneously.
4. Map out a plan for circulating the petitions and getting the number of signatures you need. Be sure you comply with all applicable legal requirements.
 - If the petition is for a legal purpose, find out whether the signers must be registered voters or residents of a specific area, how signatures must be identified (if, for example, they must be accompanied by printed names, voter

- identification numbers, and/or addresses), and whether there are time limits or deadlines for collecting and submitting signatures.
- Choose sites and territories for circulating the petition. Look for busy foot-traffic areas such as shopping and community centers.
 - Check to see if you need a permit or other permission to circulate your petition or to set up a table.
 - Ask other interested groups to circulate the petition among their members or in "their" territory.
 - If appropriate, use mail as well as personal solicitation of signatures. Send forms to members to circulate among their friends and neighbors. Be aware, however, that most legal petitions require the circulator to witness all signatures. Place address at the bottom for circulators to use to return the petitions to you.
 - In informal citizen petitions, especially, seek signatures with high impact and meaning to the target of the petition, e.g. constituents of a legislator, customers of a store, employees of a restaurant.
5. Recruit volunteers to help circulate the petitions.
 6. Train your volunteers to familiarize them with both methods of petitioning and the subject of the petition.
 - Provide background information that will enable them to answer all questions about the issues involved. A booklet or fact sheet showing typical questions and good responses is a good idea.
 - Before petitioning starts, hold a meeting featuring role-playing, simulation, and discussion of ways to petition, along with inspirational talks.
 - Provide written instructions, including details on where and when to return completed petitions.
 7. Number each petition and keep track of who has each form. Don't let anyone take petitions without recording his action.

Doing It: Circulating the Petition

1. If you're circulating the petition to get an issue on the ballot, try to get at least double the number of signatures required by law to allow for some disqualifications as a result of challenges.
2. Ask persons to sign. They rarely will come up and volunteer.
3. Be polite. If someone refuses to sign, don't argue.
4. If you're collecting a petition to present to legislators, try to divide the signatures according to "constituencies."
5. Move to new locations when the signatures drop off as a result of the same people returning to the same place.
6. If permitted, set up tables in busy areas, with posters, banners, and other attention-getting devices. Have literature explaining your purpose.
7. Have volunteers turn in petitions as completed. Make a record of those returned.
8. Take good care of all submitted petitions. Don't tack them up on a wall or leave them lying around; have a system for filing them away. Make a duplicate as a precaution in case of loss. If you lose one form, you lose all the signatures on it.

9. Before the deadline, call in all outstanding petitions. Contact members who have forms and remind them to return the forms. Your numbering record system should tell you who has each petition.
10. Have a way to gauge your progress during the petitioning campaign. If signatures are slow in coming, increase your solicitation efforts.
11. As petitions come in, check them for completeness. Make sure each one has been signed or notarized, if these are requirements. Most legal petitions require notarization.

Evaluation and Follow-Up

1. Submit the petition forms on time to their intended recipients. Arrange to publicize and perhaps photograph the presentation. This can be very dramatic if the petition forms make up a thick sheaf or are pasted together in a long sheet.
2. Keep a copy of the petition or a list of the signers for follow-up activities and possibly as the basis of a mailing list of interested persons. Follow-up reports on the subject of the petition will probably be welcomed, uses of signers' names for unrelated purposes may not be.
3. If you haven't collected the signatures in a systematic way so that, for example, all voters of one district appear together, go back over your signatures and do some compilations to show trends. When you present a petition, you can then tell each legislator how many signatures from his district were included.
4. Analyze petitions to see if certain locations or circulators contributed a large number of signatures. Use this information to maximize the effectiveness of your next drive.

Helpful Information Sources

1. For statewide legal petitions, contact the attorney general or secretary of state's office for legal information. For local government ordinances, contact the city or county attorney's office. For additional information on getting an issue on the ballot, contact the state or local selection board or office.
2. Nader, Ralph, and Ross, Donald. *Public Citizen Action Manual*. New York: Bantam Books, 1972.

Appendix VII C How to Conduct a Telephone Campaign

A Telephone Campaign, or "phone-in," is a coordinated effort designed to produce a large number of telephone calls in a short period of time. The calls are all aimed at specific individuals or organizations. Their purpose might be:

- to show popular support for or opposition to a policy, action, broadcasting program, public figure, or proposal;
- to pester an opponent until he deals with your concerns and/or representatives;
- to influence policy decisions; or
- to communicate quickly and be included in the initial evaluation of public approval or disapproval of a major announcement or event.

Action Checklist

Preliminaries

1. Decide the purpose of the "phone-in" or campaign.
2. Identify the target of the telephone calls. It may be an individual, organization, or agency.
3. Obtain and provide to all callers the telephone numbers needed to make the calls. Unlisted telephone numbers of controversial figures, if you can get them, may be effective to show top officials they cannot avoid their responsibilities or their public.
4. Decide when the calls should be made and inform participants of the timing.
5. Prepare instructions for callers. Include details on what to say in the calls. In some cases, callers should all say the same thing; in other cases, vary their message.
6. Recruit persons to do the calling.

Doing It: Making the Calls

1. Ask for explanations, answers, and information — tying up the persons answering — if your purpose is to dramatize unresponsiveness.
2. Use imagination. Keep the targets guessing.
3. Keep it up. If your purpose is to encourage negotiations, make it clear that you will continue the calls until negotiations are set. Once they are set, stop the calls promptly.
4. Keep track of responses received and calls made.

Evaluation and Follow-Up

1. Try to reach an agreement with the opponent, leaving it implicit that you can resume your phone-in if necessary.
2. If needed, follow the calls with a deluge of letters and perhaps also personal visits.

Appendix VII D How to Organize a Demonstration

A demonstration is a public action in support or protest of a policy, action, event, institution, individual, or group. There are many types of demonstrations, including rallies, pickets, vigils, marches, fasts, sit-ins, strikes, leafleting, and isolated symbolic acts.

Demonstrations have been both effective and ineffective, and have attracted both community support and hostile backlash. The methods and results depend on many factors, including the persons and organizations sponsoring and participating in the demonstration, the issues, the targets, the timing, the community, and the press. Whether your group engages in or supports demonstrations will depend upon your evaluations of these factors in your local situation. Demonstrations alone rarely right wrongs or accomplish total goals. However, as part of a larger process of organizing and community action, and particularly when coupled with efforts to work through "channels," they may help:

- to educate more of the citizenry by focusing public attention on an issue or problem;
- to convince some persons, particularly younger people, to join your efforts or your group;
- to show appreciation for a courageous action or stand;
- to rally increased public support around your cause;

- to embarrass an institution, person, or agency, perhaps even to the point of revising policy;
- to show support for or opposition to a proposed or requested course of action;
- to demonstrate your strength and power, especially to back up threats made in preliminary bargaining;
- to stop a target from carrying out business as usual, for at least a short period of time; or
- to show your determination to see an issue through when efforts to work through "channels" have failed.

Some Types of Demonstrations and Their Uses

Rallies — when you wish to draw a significant number of persons and gather together to express opposition or support. Rallies usually feature a speaker or speakers and, when possible, are held in close proximity to the target of the demonstration. They are basically public meetings in support of or in opposition to an issue.

Picketing — when you wish to confront your target directly in a peaceful manner that also will make the public aware of your feelings. Some picketing, usually illegal, is designed to keep people from patronizing an institution. Picketing almost always takes place on or near the premises of the institution which is the target. Picketing involves a continuously moving group — usually small — walking in a line or circle and perhaps carrying signs or banners. While some include chanting or singing, many picket lines are silent demonstrations. You may also have counter-pickets to respond and disagree with a first picket line. These entail risks as they can frequently lead to hostility between the competing groups of picketers.

Vigils — when you wish a sustained action or presence. Vigils usually include a group of demonstrators stationing themselves at one location, which to them symbolizes injustice. The vigils may last as long as several months or as little as an hour. The idea is to maintain a continuing, dignified human symbol of the importance of your issue. Religiously oriented vigils and evening candlelight vigils have often been considered effective.

Marches — when you wish to reach into the community and make your presence known to the public as well as to the target of your demonstration. Marches through parks or city streets usually wind up with another form of demonstration, often a rally or vigil. Some marches are used to raise money for a cause. Marchers obtain from supporters pledges of money to be contributed for each mile completed in the march.

Leafleting — when you wish to reach the public with specific information about your cause without gathering a group of demonstrators in one place, leafleting is particularly valuable in that a large geographical area can be covered by a relatively small number of persons.

Some times and places to consider leafleting include: parades and public gatherings; shopping centers (particularly on Saturdays); bus and railroad stops during commuting hours; factory or office gates at shift changes (particularly at the start of the day when you can get your literature inside for discussion); universities and schools; parking lots (under

cars' windshield wipers); laundromats, beauty and barber shops, and medical offices where people need material to read while waiting.

Door-to-door leafleting also might be considered. Material should never be forced on anyone, and discards should always be picked up so as to prevent prosecution for littering.

Isolated, Symbolic Acts — when you are searching for an escalating tactic. Single out people, places, or groups for attention and notify the press to insure that the act is publicized. A pint of dirty water displayed or spilled at a public hearing on pollution or soiled dolls representing neglected children strategically placed at an agency or home are examples of devices used in symbolic acts. Each situation, however, may require a different symbolic act. The important consideration here is that there is no real violence, yet the unexpected act clearly dramatizes your point.

Action Checklist

Preliminaries

1. Decide whether a demonstration would be a useful action for helping you achieve your goal. Carefully evaluate the possible risks, benefits, and alternatives.
 - Remember that demonstrations are a tool to be used sparingly. If the same firm, agency, or institution is the target of too many demonstrations, both it and the public are likely to become immune to the message you wish to put across. Similarly, if the same group organizes too many demonstrations, support and attention received are likely to diminish.
 - Involve your entire membership in the decision, openly discussing members' attitudes about demonstrations in general.
 - Try other means of communicating your concerns to your target first, especially if you are planning a protest rather than support activity.
2. Clear plans for demonstrations with your board and membership and national headquarters when applicable.
3. Use the particular style of protest which your group decides will be most effective in making its feeling known and with which members feel comfortable. This is crucial.
4. Choose a site and/or route.
 - Visit the site of your demonstration in advance to map out logistical details like placement of participants, routes, time needed to get from one point to another, and sanitary facilities.
 - Choose locations which are well known and easily reached.
 - Make sure you can get, or don't need, permission to use the area for your action.
 - Pick a place of appropriate size. It is better to have a smaller area overflowing than a larger area barely dotted with demonstrators.
5. Plan a timetable for your demonstration.
6. If you expect a large group, plan methods of crowd control. If you will be using volunteer "marshals" to keep order, provide adequate training. Discuss in advance what to do in case of unexpected trouble.
7. Investigate the legal restrictions applicable to demonstrations in your community, as well as your legal rights. Obtain necessary permits. Notify police in advance of your plans.
 - When possible, avoid legal difficulties by conforming to simple requirements which do not destroy your activities.
 - Never assume that regulations are illegal and unconstitutional and just go ahead with your activities. Find out the legal situation from a lawyer and then decide whether to risk disobedience and possible arrest, whether to fight in the courts, or even whether to abandon your plans.
8. Recruit participants for the demonstration. Never pressure individual group members to participate if the type of demonstration planned is not one with which they feel comfortable. Even if you attract them that day, you may wind up losing valuable members.
 - Invite community or other leaders to address or join the protest group if this is appropriate to your plans.
 - If you would like to stage a relatively large demonstration, seek support from other community groups. Consider also a public announcement of your plans in order to attract interested persons. Be careful, however, of prematurely revealing your plans to opponents. (See Appendix IX on heading off opposition.)
9. Plan ways to make the public aware of the reasons you are demonstrating.
 - In dealing with the press, fully explain your plan, tactics, and the issue. Keep in mind, however, that although press coverage can be important, it is not essential for a successful demonstration. A picket line at a zoning board hearing, even if it is not reported by the press, is reported to every person who happens by the county office building and to the county governing body and staff. Similarly, a picket line at a supermarket is reported to every shopper who comes by and to the store management. Even without press coverage, your message will reach the people most concerned.
 - Designate a spokesperson to answer press inquiries on the day of the demonstration.
 - Prepare leaflets, brochures, or other handouts to use during the demonstration. (See Chapter 16 on Public Relations.)
 - Use your speakers bureau to inform other community groups of your purposes, intentions, and action.
 - When it is legally permitted, you may wish to use audio-visual devices from banners to bullhorns to explain and increase the visibility of your demonstration.
10. Make contingency plans in case of bad weather, a smaller or larger than expected crowd, police actions, and counterdemonstrations.
11. Arrange for sympathetic lawyers or law students to be on hand or available as legal observers or advisors. Have photographers ready to document any problems, as well as your success. If you expect any trouble, have medically equipped persons available or on call.

Doing It: During the Demonstration

The specific activities required differ with the type of demonstration. Careful consideration to the preliminaries (listed above) is crucial. These general guidelines on conducting a demonstration apply to all types of actions.

1. Meet at a prearranged time and place.
2. Refer all inquiries to your designated spokesperson.
3. Remain friendly and calm in the face of harassments, heckling, or derogatory comments.
4. Provide assistance to the press corps. Give them all the information they request, stressing the importance of the issue about which you are demonstrating. Make sure they have the full story. If possible, provide them with a press release.
5. Have legal, photographic, and medical help available if needed.
6. Conduct yourselves in an orderly, organized, calm manner.

Evaluation and Follow-Up

1. Be prepared to meet with representatives of your target to work out a settlement.
2. Look for victory and claim success where you have achieved it.
3. Notify the press and your membership of results.
4. Discuss and evaluate your experiences.
5. Keep the pressure on, and plan your next steps.
6. Clean up after your demonstration.

Helpful Information Sources

1. For legal advice regarding permits, regulations, and the First Amendment, contact the American Civil Liberties Union, 156 Fifth Avenue, New York, N.Y., 10010. (Affiliates are located in every state.)
2. Oppenheim, Martin and Lakey, George. *A Manual for Direct Action*. Chicago: Quadrangle, 1965. Available from the Friends Peace Committee, 1515 Cherry St., Philadelphia, Pa., 19102. \$1.75.

This is a training manual of practical strategies and tactics for nonviolent direct action.

3. Tannenbaum, Carl and O'Hara, Frank. *A Handbook for Suburban Organizers*. Haverford College, Penn.: Center for Nonviolent Conflict Resolution, 1972. 58pp.

Appendix VII E

How to Get a Good Turnout

A good turnout may be essential to stimulate or demonstrate group or public support at key points in certain action projects. The success of a hearing, a conference, a demonstration, an election, a meeting, or an exhibit often depends on the quality of the turnout.

In evaluating a turnout, however, keep in mind that the number of participants is not the only measure of success. The kind of people who participate can be more important. A small group of influential or committed supporters can make a larger impact than some larger groups. The presence of a press representative, who can tell the general community of your activities, can multiply your impact too.

Action Checklist

1. Make sure the event for which you seek a large turnout is worth attending. It should directly advance your action objectives.
2. Involve as many persons as possible in the planning and preparations. Give members specific responsibilities to carry out at or before the meeting or event. They will then be likely to attend, and many will bring friends or relatives.
3. Remind potential participants of how vital their input, presence, or participation will be in reaching the "right" outcome or decisions.
4. Invite other organizations to cosponsor the event or join your efforts to improve the turnout. This move will provide your group with additional project workers and perhaps lay the groundwork for future cooperative efforts. It should also enrich the program and lengthen the list of accomplishments of the other groups. Members of the other groups who work on preparations will also be more likely to attend in order to see the results of their efforts.
5. Announce the date for the event as early as possible. Persons who might attend will then reserve the date, while organizations planning other events that might attract the same participants will avoid scheduling conflicts.
6. Schedule the event at a convenient time. Avoid conflicts with holidays, vacation periods, dates of other community functions, or, if many expected participants are employed, with working hours.
7. Choose a convenient, attractive, accessible site for the event.
 - Make sure transportation and parking are available, preferably free. Offer to arrange carpools if necessary and provide escorts for members or others who may hesitate to come alone. Carpools provide not only transportation, but also an incentive to come for persons who may otherwise stay away because they dislike a long, lonely drive.
 - Provide detailed directions for reaching the site.
 - Choose a site that is free of controversy or stigmas that would discourage attendance.
8. Make special efforts to invite persons who live or work near the site. The less travel required, the more likely many people are to attend an event.
9. Charge no admission, or only a token fee. Alternatively, if there is a registration or other fee for attendance, offer to waive it or to pay it for the participant if you can.
10. Arrange babysitting or child care for families needing it. If the event is in the daytime, try to choose an hour when school-age children will be in class.
11. Publicize the event widely.
 - Use the local press to invite area residents. Submit announcements to local newspapers, magazines, newsletters, radio and television stations.
 - Advertise if your budget permits and the event is sufficiently important. Choose media and programs that are popular with the type of people you want to attract. Consider a mass or targeted mailing.
 - Put up posters announcing your event.

- Prepare and distribute leaflets to invite community residents, particularly those who live near the site. Direct mail, door-to-door, and shopping center tables are good ways to distribute the leaflets.
 - 12. Identify organizations and individuals already interested or active in the problem and invite them to attend or send representatives.
 - Send a notice to organization leaders to place in their newsletters, to announce at their next meeting, or to post on their premises.
 - Send representatives to meetings of other organizations to personally issue invitations.
 - 13. Issue personal invitations to as many likely participants as you can identify. Mass mailings, newspaper and newsletter articles, radio and television announcements, and leaflets don't always persuade people that they are really needed. Personal letters, telephone calls, and reminders in conversations are usually more effective.
 - 14. Telephone as many likely participants as possible a few days beforehand to remind them of the details, encourage them to attend, and show them you are counting on their presence. If telephone calls are impossible, send postcard reminders.
 - 15. Be well organized so potential participants will not think they will be wasting their time by coming. Develop a reputation for starting and ending promptly and for sticking to the announced program.
 - 16. Ask members to bring friends.
- other interested groups. Try to recruit as many community leaders as possible to support and work with you.
3. If possible, conduct a public opinion poll before the campaign starts to get information that will help plan an effective campaign.
 4. Right from the start, plan the entire campaign:
 - Work solidly through the campaign (don't lose a day) to reach a peak just before Election Day.
 - Plan to go on the offensive and stay there, putting your opponents on the defensive. Focus on your issues and your case rather than theirs.
 - Pick a simple, single theme for your campaign and key all communications to it. Don't confuse the voters and diffuse your effect with several themes. Most voters give an election only their peripheral interest and need repetition to understand your point.
 - Aim to motivate your supporters and neutralize the opposition while concentrating your activities on undecided voters. Set a firm timetable of activities and follow it. Assign responsibility for carrying out the tasks.
 - Plan special events like parades, meetings, contests, and telethons to attract attention to your position and the election.
 5. Recruit and involve as many volunteers as possible. Each volunteer, by his involvement, is likely to become a committed supporter and defender of your view.
 - For a large, routine job of a non-policy-making nature, if you have a choice between letting a few or many people do it, take the extra time to involve the larger number. You will gain additional committed supporters from this step.
 - To eliminate confusion, limit the number of people involved in the policy-making and official-spokesperson roles, especially as the election approaches.
 - Use canvassing, radio announcements, meetings, coffees, and parties to recruit new campaign workers as well as to present your viewpoint.
 6. Research the issues and the area voting patterns.
 - Know how voters acted in the past and where to identify potential supporters.
 - Learn what voters care about and gear your issue's campaign to their current concerns. Stress how voters personally will benefit or suffer from passage or defeat of the measure on the ballot.
 - Identify community leaders whose support or endorsement can influence voters, and seek to involve them, or neutralize them if they are potential opponents.
 7. Prepare information about your side of the issue, stressing aspects especially relevant to the voters' daily concerns. Communicate this information to the press through your campaign's press relations spokesperson. For a "good government" issue such as a school bond, ask merchants and banks to mail information with monthly statements and to display posters or exhibits about the issue.
 8. Prepare a budget and find ways to raise needed money.

Appendix VIII

How to Run an Election Campaign

Tax exempt groups can only participate in campaigns involving issues rather than candidates. There may be bond, proposition, and referendum elections involving issues which fall within your interest. You may, on your own or as part of a community coalition, take responsibility for organizing campaigns in these elections. You may work in an election campaign:

- to force or prevent specific government actions by supporting a ballot issue;
- to educate the public on the issue;
- to involve and mobilize persons and groups with shared interests; and/or
- to demonstrate public opinion on an issue.

Action Checklist

Preliminaries: Launching the Campaign

1. Get your issue on the ballot through the required procedures (petitions, filing with the appropriate governmental office, paying necessary fees, etc.). Check with election officials in the district where the issue would be on the ballot for proper procedures. Pay careful attention to the wording, which may affect votes. If the issue is on the ballot as a result of legislative action, this step won't be necessary or would have been achieved through lobbying efforts.
2. Set up a campaign organization by getting volunteers, selecting leaders, and working with

- Remember, if you don't ask for money, you probably won't get it. There is too much competition for funds to assume money will be forthcoming without effort on your part.
 - See if you can get financial help from national groups concerned about your issues. You will have to impress them with the significance of your campaign and your chances of success before getting their support.
9. Learn election laws in advance, especially regarding spending limits and recording contributions, and be sure to stick to them in spirit and in letter.

Doing It: During the Campaign

1. Go after uncommitted, "independent," normally uninvolved voters. Don't waste time or resources on voters already committed, whether to your side or to the opposition. Keep your workers enthusiastic, but be wary of continually spending your time with supporters. Explain that you must put your efforts elsewhere to swell their ranks. And then, DO IT.
2. Send your spokespersons where they can meet the largest numbers of or most influential people. Develop a speakers' bureau to send articulate representatives to address as many community groups as possible. (See Appendix I to Chapter 16.)
3. Have a rumor-reporting and control operation, formal or informal, at headquarters. Anticipate opposition tricks and have responses ready quickly.
 - Be prepared for anything, especially as the campaign nears its peak.
 - Be able to react quickly if you are put on the defensive. However, avoid repeating a charge or rumor as you attempt to rebut it, for repetition just gives it more circulation. Simply continue to stress your side of the story in discussing the issues.
4. Always know where your campaign manager is and how to reach him on short notice. He or an assistant should check in regularly.
5. Focus on personal contacts with voters; door-to-door canvassing is especially effective.
6. Go after endorsements from interested, influential groups and individuals. Announce the endorsements for the greatest effectiveness in terms of the momentum you are trying to develop.
7. As you near your goal, make your messages more simple and direct. In general, long, detailed position papers are best used in the early stages of a campaign. Keep them to one page during the "public" stage of the campaign.
8. Keep track of the opposition. Even if your official response is to ignore the opposition, be informed and aware of their moves so that you can evaluate their potential damage.
 - Assign a team (possibly a "truth squad") to appear at opponents' speaking engagements and to ask pointed questions.
 - Be prepared to respond quickly to misleading statements and tactics.
9. Caution your spokesperson not to be long-winded. Concise talks and answers to inquiries are appreciated and effective.
10. Right up to the election, regardless of the outlook shown by your polls, confidently predict victory. If you start to prepare your workers for defeat,

you will stop them from making the necessary final push that just might bring you victory. Predictions of defeat also discourage citizens who haven't made up their minds, since many want to be on the winning bandwagon.

11. If the opponents launch a last-minute smear or "big lie," don't answer it, at least not specifically. You will only help publicize it. It will work only if voters are confused or half-convinced on the issue.

Election Day Activities

1. Get out the vote of supporters whom you identified during campaign.
 - Phone supporters identified in canvassing to remind them to vote.
 - Provide transportation and baby-sitting services if needed.
2. Have your poll watchers keep track of which of your supporters vote by checking names on lists you provide. Make reminder calls after lunch to supporters who haven't voted yet.
3. Have a party planned for after the election. Supporters will want to tell afterwards of their efforts, so this get-together will help motivate them for election day.

Evaluation and Follow-Up

1. Study voting precinct records to see how well your strategy worked. Compare the results with campaign activity to see what paid off. You can keep your own counts by having watchers at each poll, or get them from the Electoral Boards afterwards. Whether you won or lost, you will find hints to help you improve your performance in future elections.
2. Conduct a public opinion poll to find out why people voted as they did.
3. Be sure all your supporters are thanked; they worked hard, and you may want them to work with you again.
4. Keep your files and resource lists; your group may need them in future elections and campaigns. If you haven't had time to write everything down during the campaign, do it now while events are fresh in your mind.
5. Stay in contact with members of the community who assisted in the campaign. They may be willing to work with your group on other projects in the future.
6. If your side lost, after you've analyzed the causes and have made plans to correct shortcomings the next time around, start all over again for another election to try again.

Helpful Information Sources

1. Americans for Democratic Action. *ADA Organization Manual*. Available from the ADA, 1424 Sixteenth St., N.W., Washington, D.C., 20036. Contains a section on political action with concrete suggestions for running an election campaign.
2. League of Women Voters of Nevada. "Campaign Methods for Bond Elections and Other Ballot Questions." in *People Power: Action Guide for Effective Lobbying*. Available from LWV of Nevada, 227 Hill St., Reno, Nev., 89503. 25¢.
3. Buehler, Robert, ed. *Campaign Technique Manual*. 119pp. \$3.00. Available from the National Association of Manufacturers, Public

Affairs Department, 1133 Fifteenth St., N.W., Washington, D.C.

Provides excellent how-to-do-it information on financing, campaign planning, organization, and vote-getting projects.

4. Schneier, Edward and Murphy, William. *Vote Power: The Official Activist Campaigner's Handbook*. Englewood Cliffs, N.J.: Prentice-Hall, 1970. \$1.50.
5. Shadegg, Stephen C. *The New How to Win an Election*. New York: Taplinger, 1972. 189 pp. \$2.95.

Appendix IX

Handling Opposition

Appendix IX A

How to Head Off Opposition

The first line of defense against opposition or hostility is to take preventive measures to minimize the chance of its surfacing. If that fails or is impossible, you must be prepared to meet the opposition or hostility head on or to counter it. In both cases, it is important to realize the value of "neutralizing" or "defusing" opposition, even if the opponents cannot be defeated or converted.

This section outlines some methods of heading off opposition before it can surface to impede your progress. The methods you choose should vary with the nature of your opposition, your prior relationships and conflicts with it, and the degree of dedication to defeating your project or plans that the opposition has.

Neutralizing Potential Opponents

An opponent is considered "neutralized" if he does not work actively *against* your goals or project, even though you might have originally expected him to do so.

1. Invite as many persons as possible to join your project as early as possible. On many issues, participants choose sides on the basis of who approached them first to request their help, rather than on the basis of the convictions they hold. Furthermore, participants involved in and informed of early decision-making activities as they take place are likely to be more loyal and committed supporters than those who join in later.
2. Consult early with potential opponents to put them in the position of inspiring or encouraging your action. While you are doing your preliminary research, contact potential opponents to ask whether they think there is a problem and what they think should be done about it. When you later announce a project based on information they provided and designed to implement their advice, they may hesitate to oppose you actively. Even if they must officially oppose you, they are likely to be less vigorous in their opposition and may, in fact, be supporting you from the sidelines.

3. Ask individuals who are respected by opposition leaders to ask these leaders for their support or to speak well of your project to these leaders. The opponents are unlikely to change sides, but they also may become hesitant to attack a project or organization that has important support.
4. Establish a personal relationship with your opponents. If you can demonstrate your reasonableness and respectability, you will make it harder for opponents to attack you. It is also hard to make a stinging or unjustified attack on someone you have met with personally and expect to see again.
5. If you are planning a public meeting, invite a representative of the opposition to appear on the program. While you may not want to give the opposition equal time and while you may want to sandwich opposition speakers between some of your better spokespersons, you will effectively defuse any opposition intentions of disrupting your meeting or attacking it as exclusionary and one-sided.
6. Try to divide the opposition by winning some of its members over to your side or at least neutralizing them. Welcome secret as well as overt allies.
7. Seek the support and, if possible, endorsements of respected community leaders. Opposition will be slower to gather to fight a project or organization that appears to have important support.
8. Try to create "cross pressures" from group affiliations and personal friends with different viewpoints to keep a potential opponent neutral or undecided. The more cross pressures to which a person is subject, the less likely he is to participate strongly on either side of an issue and the more changeable his preferences.
9. Don't be too quick to designate someone as an opponent. If a first response is uncertainty, worry, or even hostility, try to win the person's support with further information and through the efforts of colleagues before launching into attacks on the person.
10. If you expect to be the target of a smear attempt, try to minimize its effectiveness by warning supporters and the general public in advance to expect and discount it.

Catching Your Opponents Off Guard

1. Do extensive, thorough, unpublicized research before you reveal your plans or take any actions publicly. You will then have a jump of several weeks or months over your opponents, who will not be able to start their counter-research until after you reveal your findings. On the basis of your careful investigation, you will also be able to expose quickly any superficial or sloppy research released by your opponents.
2. If your opponents can attend your meetings or read your publications, don't reveal too much of your specific plans through these media. Focus instead on reporting your past progress with the intention of causing your opponents to concentrate on reacting to past activities while you are moving ahead in new directions. You can publicize your new moves directly to the press or to trusted participants by telephone or personal letter.

3. Don't publicize your actions or plans in advance if the publicity will stir the opposition into action.
4. Try to lead your opponents to believe that you have many more options and plans under consideration than you really do. Your opponents will then dissipate their energy and resources preparing counterattacks to all of these while you will be focusing your efforts on pursuing only one.
5. Research the background and spokespersons of your opposition carefully. If any opponents try to disrupt your meetings or plans, you will be in a position to expose their true interests and effectively counter their efforts.

Avoiding Blunders That Deserve Criticism

1. Always be truthful in the information you give out. Evidence that you have exaggerated or provided misinformation will be embarrassing and possibly ruinous to your project.
2. Do not needlessly attack a popular public or community leader or an elected official. Your attack will just serve to rally their supporters to their side and to produce opposition to your efforts.
3. Be able to demonstrate the practicality and feasibility of your proposals. In particular, know how much implementation will cost and where the money will come from.
4. Be able to demonstrate the advantages of your plans, particularly to show how your ideas would benefit members of would-be opposition groups. For example, show how your consumer protection proposals would benefit both businesspersons as well as consumers, or how an equal rights proposal would benefit both men as well as women.
5. Always provide adequate information about your group, its membership, leadership, purposes, and achievements to head off charges that you are affiliated with an irresponsible or insignificant group.
6. Be reasonable. Don't be too quick to use confrontation tactics or to picket. Always make an effort to go "through channels" or to use "the system" to resolve your problem. Only if that doesn't work should you take other action.
7. Make sure your spokespersons are adequately prepared when they make public statements and appearances, particularly when they are going to share a platform with opponents.
8. Encourage your members to remain calm in public at all times. Provide opportunities at your meetings for them to let off steam or unleash hostility.
9. Obey all laws applicable to your activities.

Appendix IX B How to Deal with Hostility and Attacks

If you are involved in community action, particularly if you are seeking to change the way power has been distributed and used, you must be prepared for opposition and hostility. When you want to change

the way things have been done, you must realistically expect some people to be unhappy about and to question and attack your actions. Your motives, financing, goals, and perhaps even sanity may be publicly questioned. This is the reality of public action and community change. While some change and progress may occur without controversy, a good deal does not. Controversy is by no means incompatible with effectiveness.

If your members have not been involved in community action before, this problem should be confronted and discussed early. If members are prepared for the possibility of criticism, you can respond effectively and continue your efforts instead of retreating or giving up in the face of the first adverse reaction that may be expressed. You may also be able to plan and carry out your activities in such a way as to prevent potential opposition from materializing.

Action Checklist

Preparing Your Members

1. Review with members the types of "baiting" or hostile questions that could be raised about your activities and formulate suitable responses with which you feel comfortable.
2. Group members in teams of two or three when undertaking assignments in which they are likely to encounter hostility or rebuffs. The team members will give each other the moral support needed to continue their efforts in the face of disparagement.
3. Plan group meetings to discuss openly and fully the possibility of hostility, harassment, and opposition. Use role playing and other techniques to develop and practice appropriate responses. Remind your members that some opponents will use any opportunity they can to discredit you. If members are prepared for attacks, they will not be flustered, frightened, or discouraged by them.
4. Give recognition to members who have made special efforts to defend your group or its positions in the face of great or formidable opposition. Turn rebuffs and attacks into honorable wounds rather than embarrassments for the recipient.
5. Acknowledge mistakes, starting with those of group leaders. Use your leaders' miscalculations or missteps as "object lessons" in your group and do so with a sense of humor instead of bitterness or recriminations. This approach will pave the way for other members to assess their own efforts openly.

Guidelines for Speaking to Hostile Audiences or Opponents

1. Don't expect to change anyone's mind on the spot. Instead, try to neutralize opposition, create a climate, and provide information that will encourage listeners to change their minds later on. Above all, try to keep members of your audiences from making a public commitment to your opposition.
2. Concentrate on major arguments and areas of agreement instead of debating every small point of difference.

3. Remain friendly, calm, and reasonable, particularly in the face of heckling. Prove yourself and your view to be worthy of respect. Your overall manner will often do more to demonstrate your reasonableness and neutralize hostility than all your arguments put together.
4. Be sure your spokesperson is well prepared and familiar with all aspects of the issues under discussion. Should a question arise with which he cannot deal, promise to investigate the matter and send a response.
5. Look for and stress points of agreement from which to develop your argument. Show respect for your opponents' beliefs and values. Show how your view really follows from theirs.
6. Save emotional appeals and invective for use with persons who are already convinced and on your side. With opponents or with hostile, uncommitted, indifferent, or uninformed audiences, use straightforward, logical, factual presentations.
 - Avoid scare tactics or strong appeals to fear. They arouse too much tension or backlash and are less effective in persuasion than lower key appeals.
 - Don't try to high-pressure listeners.
 - Don't use invective; it does not persuade.
7. Present both sides of the issue to provide inoculation against forthcoming arguments.
8. Try to arrange for the opposition to present its views first, giving you a chance for rebuttal.
9. Show your audience's stake in your issue. Show how your arguments and programs apply directly to your listeners and how they would benefit from your proposals.
10. Try to turn your appearance into a dialogue with the audience; this can be more effective than a straight lecture.
11. Do not waste time on the hard core of your opposition. Work instead on the middle ground, the wavering, and those who have recently become involved and are not yet set in their thinking.

Responding to Attacks

1. Wherever possible, refrain from direct reaction to your opposition. In general, you should act as if the opposition doesn't exist.
 - Build positive answers to criticisms in your subsequent publicity, but subtly, without acknowledging that you view the criticisms as valid. If you were wrong, however, admit it. Don't perpetrate a lie.
 - Don't repeat charges in responding to them; you will only give them wider circulation.
 - Concentrate on your case, not on the opposition's. If you are in a debate, for example, concentrate on your message rather than the opponent's. Answer critical questions as briefly and factually as possible and then get right back to your own arguments.
 - Ask a civic leader who is not a member of your group to speak out for your position.
2. Keep calm. Show no anger which may serve only to stimulate and extend the controversy and make settlement difficult to achieve.
3. Analyze the criticism or attack to be sure you really have an argument instead of a misunderstanding. Before a disagreement escalates into a

major public controversy, you may be able to soothe the attacker's feelings by correcting his misimpressions, rewording a "demand" slightly, or clarifying some small point. What is put forth as opposition to your entire program may, in fact, be opposition to one small, easily changed portion of it.

4. Analyze the attack to see if it is worth answering at all. If it will not be given much circulation or if the attacker is unlikely to be taken seriously by persons whose opinion is important to you, then let the matter drop.
5. Before you respond to an attack, decide as a group on your position. An attack may raise doubts in the minds of members, so provide them with reassurance and a chance to discuss the attack.
6. Tell your members and supporters of the facts and your position before you respond publicly, whether or not your respond publicly.
7. If the attack generates public attention that is focused on your group, use the opportunity to get some publicity to show what you are really all about. Positive actions timed to coincide with carefully worded statements can tell your story to large groups of people who might not otherwise have been interested.
8. Try to divide the opposition. Look for members of the opposition group, or supporters of your opponents, who will disown the attack publicly.
9. Don't stifle or repress any attack. Encourage open discussion of members' grievances in hopes of resolving them.
10. If an attack comes from a person who belongs to or has other close ties with an opposition group, but who does not reveal these ties, take steps to do so for him. One of the major reasons for researching the opposition in advance is to be able to get information for use in such situations. If the attacker's background is unknown, try to learn his true motives and interests.
11. Respond unconventionally if you can. Try not to do what the opponents expect you to do. In particular, do not respond by "losing your cool."
12. Use paid advertisements in newspapers which are biased in their reporting to get your viewpoint across to their readers.

Going on the Offensive

1. Instead of simply responding to opposition moves, take the initiative and try to put your opponent on the defensive. If your proposals and charges are being argued about instead of the opponent's, you are more likely to come out ahead. In order to criticize your proposals, the opponents will have to inform people about them. In so doing, they will reach potential supporters as well as opponents.
2. Call the attention of the press and of those who agree with your efforts to questionable aspects of your opponents' background. Ask them to start investigating and asking questions. Be sure, however, you can document all accusations.
3. Whenever you learn of opponents' speeches or appearances on television or radio, ask for equal time to present your view.
4. Form "truth squads" to attend meetings sponsored by or featuring spokesmen for the opposition. The truth squad members should correct misstatements.

5. Use symbolic, dramatic actions to call attention to opposition actions of which you disapprove. You might send a dead fish to the head of an organization that is polluting nearby waterways, wear gas masks in traffic, or open a charge account in the name of a fictitious person to demonstrate inadequacies of credit procedures.
6. Learn all you can about, and even infiltrate, the opponent's organizations to keep abreast of their plans.
7. If you are considering disruptive tactics, discuss these carefully in your group. Some members may feel that an opponent's actions are so unprincipled or outrageous that they cannot be

allowed to continue unchallenged, but be sure you have a consensus among **all** members, and group approval, before you act.

Helpful Information Sources

1. Alinsky, Saul. *Reveille for Radicals*. New York: Vintage, 1969. 235 pp. \$1.65.
2. Huenefeld, John. *The Community Activist's Handbook: A Guide for Citizen Leaders and Planners*. Boston: Beacon Press, 1970. 160 pp. \$6.00.
3. O.M. Collective. *The Organizer's Manual*. New York: Bantam Books, 1971. 368 pp.

The Junior League of Champaign-Urbana Collaborates on Options

The Champaign-Urbana, Illinois, **Options** project is a criminal justice institutional program funded by LEAA and monitored by the Illinois Law Enforcement Commission (ILEC). Its purpose is to train volunteers to work with inmates in the local correctional facility, with the goals being to decrease the recidivism rate of the enrollees by 10 percent and to increase their usefulness to society.

The vehicle used to effect this goal is based on the **Threshold's** model, a training program for volunteers to teach decision-making and problem-solving skills to jail inmates by using a reeducation process called "Imaginal Education." This process operates on the belief that a person's actions are based upon the images he holds of himself and his relations to society. When a person holds a negative self-image, he becomes self-defeating; he becomes a victim of his circumstances. But when a person believes himself to be a significant human being and learns that all situations have some positive possibilities, he can better handle responsibility for his own life. This process as it relates to criminal behavior was developed by Dr. Milton Burglass, himself a former convict who now heads the nonprofit corporation called Correctional Solutions, Inc. To quote Dr. Burglass, "Criminal behavior is understood as one manifestation of a more generalized and pervasive life problem. It is the inability to make self-actualizing, rational, and nonreactive decisions. The apprehended offender is, by definition, an unsuccessful criminal. The self-image of the prisoner is that of a 'victim.' A victim is one to whom life just happens."

As background, it should be noted that a positive environment for such a project existed in Champaign-Urbana. The sheriff had already encouraged church-sponsored recreational activities in the jail, though no women were involved. Also interest in a different type of voluntary program for the county correctional facility had been generated at a social gathering where several community leaders heard of the exciting volunteer program called **Thresholds** currently in operation in Schenectady, New York. At the same time the state's attorney was concerned about the growing number of inmates coming into the criminal justice system and was interested in finding an effective program for reversing this trend, and specifically one that would utilize volunteers. In addition, the local Junior League was evaluating the results of their

IMPACT survey and looking for a program to help meet the community needs identified by the study. When the state's attorney and some League members attended the IMPACT conference, the search for an appropriate League project was intensified.

IMPACT encouraged the Junior League to act as a catalyst in bringing together those already identified as being interested along with the other important sections of the community needed to insure broad-based community support. The communication approach was two-fold:

1. Individual — by interviews with law enforcement personnel and directors of public and private organizations;
2. Group — by community meetings involving organizations, such as the Voluntary Action Center, Junior League, Junior Women's Club, League of Women Voters, Council of Congregations, Jaycees, probation department, sheriff, County Board Jail Committee, Council on Alcoholism, National Clearinghouse on Criminal Justice Planning and Architecture, the Mental Health Board, Juvenile Corrections Center, etc.

At one meeting the volunteer from the **Thresholds** program of Schenectady, New York, who had previously spoken at the party, was invited to speak again. Enough enthusiasm developed that a steering committee composed of representatives from the sheriff's office, Voluntary Action Center, Junior League, Junior Women's Club, Jaycees, National Clearinghouse on Criminal Justice Planning and Architecture, the Mental Health Board, and probation department was formed to pursue the possibility of establishing a **Thresholds** program in the local jail.

The ILEC was contacted for possible funding, and approval was sought from the sheriff and the County Board Jail Committee. The Voluntary Action Center staff, with assistance from LEAA and the steering committee, wrote the grant application, naming the Voluntary Action Center as the administrator. The steering committee was expanded to become an advisory board, thus marking the end of the planning phase.

A twelve-month grant for **Options** was awarded by the ILEC. Further proof of how effectively those involved communicated with the total community is the long list of additional support to the program ranging from the donation of a blackboard by the Junior Women's Club to the free use of Parkland College facilities for the training weekends. Credits for these contribu-

tions are noted in the **Options** newsletter, which is printed quarterly and is an effective communication technique, keeping all those involved in touch with each other and with program progress.

Staff from Correctional Solutions came to Champaign-Urbana to train the volunteer teachers and counselors in the Imaginal Education process at an intensive weekend of basic training. Each volunteer spent a minimum of fifty hours in training. The structured curriculum used in the jail classes was developed by the local teachers, using the **Threshold** guidelines.

When classes started in the jail, a fairly serious communication gap developed that provides an excellent object lesson for any group desiring to carry on a volunteer project in an institution. Although the county sheriff had been interested, involved, and extremely cooperative from the very beginning, it soon became obvious that his staff did not totally share this enthusiasm. They were concerned about allowing outsiders (especially female) to be involved with inmates, fearing that the volunteers might "coddle" the prisoners as well as be manipulated by them. To overcome this resistance, the **Options** staff made use of the very process undergirding their project by inviting key jail personnel to an Imaginal Education training weekend. The jail personnel were very impressed with the content of the program, the caliber of volunteers, and the amount of time the volunteers spent in training. This not only alleviated the fears of the jail staff, but it gave them knowledge of decision making for their own use. As a result, more than adequate cooperation ensued, and several of the jailers began volunteering their time to the project.

Two other factors are important to note here in reference to gaining cooperation from institutional staff. The first is that the staff of **Options** understood their role in the jail as well as the role of the jail personnel and were careful not to interfere with the jailers' job responsibilities (especially critical because of security regula-

tions). The second factor is patience and perseverance. For as time passed and the sheriff's staff realized that very positive things were happening, instead of what they feared, they became some of the strongest supporters of the **Options** project.

An important part of the foregoing has been left out to allow analyzing another obstacle the project encountered and how it was surmounted. In order to expand the training to include the jail personnel, a budget reallocation was needed. The grant monitor at ILEC initially refused to approve this change. The **Options** staff were cognizant of the fact that communication with ILEC was based on paper reports and therefore probably not persuasive enough to secure the requested change. Again the **Options** staff made use of "imaginal education" by requesting ILEC to make an on-site evaluation of the training weekend. And again this involvement had a positive effect, and the original grant was altered to allow for training of the jail staff.

The **Options** project has led to additional collaborative efforts. The **Options** staff instigated a Corrections Council, which consists of all programs or activities that deal with offenders and ex-offenders. This was done to keep each program aware of the other programs, to allow "staffings" on common clients, and to create an advocacy base for needed services. An outgrowth of the Corrections Council is the Correctional Employment Center, a separate agency that handles all job related activities for six correctional referral agencies — **Options**, Adult Diversion, State Work Release Center, parole, probation, and the Metro Police Social Service.

Negotiations are going on now between **Options** staff and the Champaign Police Department to advocate for a county-wide crime prevention bureau made up of civic organizations active in crime prevention. A regional conference is planned, to be followed a week later by a county planning/organizational meeting.

The Junior League of Greater Bridgeport Involves The Community in a Survey of Youth Services

Desiring to initiate a juvenile delinquency prevention project that would zero in on the needs of their community, the Greater Bridgeport Junior League met with many community leaders and agency representatives to help ascertain what type of service was most needed for youth. What was heard again and again was, "We need to know what is available for youth in Greater Bridgeport in order to know what is needed." At a local mental health association conference, preceded by a small survey of pediatricians, child psychologists, and other youth serving professionals on priority needs of youth, League members concluded that (1) there was little communication between youth serving agencies, (2) there was hostility between the representatives of the various youth serving agencies, and (3) there was not one single need, but many youth service needs.

The Houston IMPACT Institute convinced League representatives that volunteers could make an impact in the system through small changes. The League delegates decided on a systematic survey followed by a planning conference as a first step to objectively determine community needs, to provide a means of communication within the community and the system of youth services, and to coordinate the interests of youth and the various youth serving agencies. A proposal to this effect was presented to the League committee, which okayed the survey, but wished to wait until the survey was completed to decide on the conference. Thus a comprehensive survey, analysis, and written report was to be the first phase of what was to be a two-pronged project.

The next step for the League committee was to do research on surveys and to seek assistance and support. Technical assistance (by phone and correspondence) was received from NCCD's National Center for Youth Development Office in Tucson, Arizona, and a local systems planner. The Bridgeport Youth Service Bureau and the Connecticut Department of Children and Youth Services agreed to co-sponsor the project with the League. The Youth Service Bureau agreed to provide: a part-time research assistant to develop demographic data from census information, funds for computer analysis of the data and publications of the survey report, in-house services for reproduction and typing, and general assistance in planning and coordinating the survey. Although they could provide no funding, the State Department of Children and Youth Services offered technical assistance in develop-

ing the survey questionnaires, in planning the survey process, and data analysis. The Junior League contributed money, administrative personnel, and a majority of the volunteer hours. Volunteers from the community were later recruited to help with interviewing. Two area foundations contributed money for data processing.

The purpose of the project, as stated in the proposal submitted to the League membership, was to conduct a comprehensive survey, provide an analysis, and report on the services for the youth in Greater Bridgeport in order to accomplish the following objectives.

1. To involve the community in conducting and utilizing the survey;
2. To provide the Department of Children and Youth Services and the Youth Service Bureau with information for the planning, development, management, and evaluation of operations, programs, and activities of interest to them; and
3. To encourage community conclusions, recommendations, and planning for a network of programs for all youth.

Because the data gathered in the survey was to be used for community action, this survey was to be different from any other survey done in Greater Bridgeport. It was to include:

1. social and demographic data;
2. information from providers of services to youth on programs, resources, problems, needs, structure, operating procedures, etc.; and
3. information from actual and potential consumers of these services — youth — on awareness of programs, use of them, and perceived needs and program priorities.

The League committee hoped that some of the following would result from the survey:

- establishment of a system for permanent data collection,
- a community planning conference,
- dissemination of information to area youth about available services,
- development of specific, needed projects by youth service organizations, as well as by concerned groups, such as churches, fraternal organizations, area business and civic organizations, and/or
- establishment of a comprehensive network of services to youth.

During the initial planning stages (before other co-sponsors were aligned and the format for the survey determined), the League contacted a local

planning and funding agency to seek its counsel and to request it to serve as a co-sponsor and/or to provide support services. This agency was included in the initial planning meeting with the co-sponsors and other city representatives, and a League representative met with the agency director on several occasions to discuss the survey. But its support was not forthcoming. Not only did this important agency refuse to co-sponsor the survey, but it used its newsletter to all member agencies to request that if the League contacted them for information, they not assist but refer the League to the umbrella agency's planning staff. One of the agencies receiving this newsletter advised the League of this development and offered its support.

The League's next step was to go to various agency representatives and influential community people — including members of the umbrella agency's board — telling them of this obstacle and asking what they thought the League could do to improve relations with the umbrella agency. Although not requested to do so, many of these people talked with the director of the agency and asked why he was being uncooperative. The director "had not realized that he was being uncooperative but rather had thought he could provide the same information that the League would request from member agencies based on existing records and thus save the League and the agencies time."

The director requested a meeting with the League chairperson at which they reviewed the questionnaires (which by this time had been developed), and the director concluded that in fact he did not have the necessary information. Consequently, a letter was sent to member agencies requesting that they cooperate with the survey.

To seek further support from the community, a kick-off reception was planned. Letters explaining the survey, followed by separate invitations to the reception, were sent to 400 influential community people and agency representatives. The invitation list was developed by researching the community power structure and determining who in the community was concerned with youth problems. Card files were prepared on these people for future reference in determining whom to include on the community advisory board. The reception was attended by 125 people and good press coverage resulted.

To facilitate its "post-data collection" objective of providing a means for the community to make conclusions, recommendations, and plans for the youth serving system, the League planned to establish a thirty-five to forty member advisory board. However, they weren't sure at what point

they wanted to appoint and involve the board. Each time one of the committee members suggested that perhaps the board would be useful with some upcoming task or activity, they asked themselves, "After they have helped with this, what would they do then? Do we have enough for them to do now?" They did not want to bring them in for menial tasks or to stretch out their involvement over a long time period and thus have them bored by the project before they would be most needed — after the survey was completed. Other considerations were:

- The committee was very busy collecting data and did not feel that it had the energy or time to deal with the group processes and intricacies of coordinating board meetings and keeping the members informed.
- Knowing the community as well as they did, they did not think they needed the tie-in to the power structure that such a board can provide. They preferred to go to community contacts on an ad hoc basis as they had done in overcoming the resistance of the planning agency.
- Since they were collecting and analyzing the data, the League was reluctant to abdicate its autonomy and decision-making prerogatives in making recommendations for the survey report.

The decision was made. After the survey was completed, data analyzed, recommendations made, and report written, they convened an advisory board to review the report and guide in its implementation. In the meantime the League had decided to sponsor the follow-up conference. The League was able to secure influential community leaders and representatives of the major youth-serving agencies, including the director from the "resistant" umbrella agency to serve on the board. When the umbrella agency director continued to be critical and negative, other board members rallied to the support of the League and the conference, which limited the impact of his negativism and strengthened League morale. The advisory board helped to organize the conference, plan what should be included, develop strategies for the "hoped for outcomes," and suggest people to invite.

A two-day conference was held and attended by about 250 people, including representatives from agencies and programs interviewed during the survey, all co-sponsoring agencies, members of the survey committee's advisory board, other area professionals and volunteers, and youth. A professional conference coordinator and community facilitator, Eva Schindler-Rainman, was hired to help develop, plan, and conduct the conference.

Although the League's formal commitment ended with the conference, it seems certain that members will be involved in whatever develops from it. In addition, the League received many requests for guidance in establishing data collection procedures from Junior Leagues, youth service bureaus, and other organizations. It has also been invited to conduct workshops on data collection at a national and a state conference. A

"how to" survey kit based on its materials has been put together by the State Department of Children and Youth Services for use by other communities. So not only has the Bridgeport League proven that a volunteer group can be a most effective survey of community agencies, but they have also been willing to share their "learned" expertise with others wishing to replicate their efforts.

The Junior League of Buffalo Persists and Overcomes Obstacles

The **Options** project, sponsored by the Junior League of Buffalo, Inc., is an educational program for the women inmates at the Erie County Correctional Facility. The program's goal is to assist the women to better utilize time in incarceration through developing new interests and broader perspectives on their lives. This is accomplished by bringing representatives from community agencies and groups into the institution to instruct the inmates in such areas as nutrition, budgeting, secrets of the job market, female medical problems, child care, arts and crafts, cosmetology, etc. In addition, these community resources serve as a contact point for the continuation of those interests upon the inmates' release.

Interest in the criminal justice system was first expressed by the League's Community Affairs Committee a year before AJL's IMPACT program. After IMPACT was announced, a special criminal justice committee was established, and about ten members completed the NCCD-designed community survey. After educating themselves by gathering this data, the committee then conducted an educational program on the criminal justice system for the entire League, utilizing a number of the criminal justice system participants and officials that they had met during the survey. Thus the survey was important not only in educating the League on the criminal justice system, its jargon and needs, but in establishing contacts with criminal justice officials, many of whom later made requests for League programs and volunteers.

The criminal justice committee was concerned that its research showed an absence of programs and activities for the women inmates at the Erie County correctional facility. This institution, which houses about 200 males and from fifteen to thirty females, is located in a rural section of the county which reduces opportunities for community participation, work release, etc. Many of the female inmates are minors who have reached an average educational level of the tenth grade. Their usual length of confinement is three months, and the most common convictions are for prostitution, shoplifting, and drug charges. They are isolated from the much larger male population for security reasons; therefore they cannot work on the farm, in the bakery, or in the laundry since the men are involved in these activities. They are not even allowed in the library. There was little for them to do but sit and sit — and sit.

But while the League was becoming interested

in developing a volunteer program for the women at the county facility, the facility's superintendent was not at all receptive. Not only was he more concerned with security than rehabilitation, but he also believed volunteers to be unreliable. Rather than being dissuaded by this attitude, the League chairperson made numerous phone calls and visits trying to convince him that the League was a responsible group which would not threaten the institution and could help its inmates. When the superintendent requested League funds to help put on a musical program at Christmas, the League asked permission to hostess a separate party for the women since they could not attend the one given for the men. The superintendent could hardly say no, but he did not open the door any wider. The League came away convinced more than ever that a program of some type for the women was greatly needed.

At the IMPACT Conference in Houston, it was suggested that the League present the superintendent with a specific program proposal. So it did — in fact it offered him two — the **Threshold's** program, a copyrighted program available to volunteer groups for use in short-term prison facilities (See Champaign-Urbana **Options** project case study) and one developed by the League which was also called **Options**. Some League members much preferred the structured training of the **Threshold's** program, which they felt would provide a firm base for green volunteers and could probably do more to positively improve the inmates' self-images. Other League members preferred the original program developed by the League criminal justice committee because it offered individual sessions complete unto themselves: an advantage considering the rapid turnover of residents at the facility. Armed with both ideas and some trepidation, the League committee approached the superintendent. He didn't want either.

A bit defeated, but undaunted, the committee members kept on trying to convince him even to the point of taking a special valentine ("Warden you be my Valentine") with them to a February 14 meeting. The meeting lasted two and one-half hours, and the committee was about to give up when, desperate for another program benefit to describe, someone mentioned, by chance, that the League could bring real works of art to the jail. For some reason this remark seemed to elicit the necessary acceptance and cooperation from the superintendent. The chairperson felt that the moral demonstrated by this experience was that "tenacity, plus desperation, plus marvelous

chance — may just work!" It also illustrates an inexpensive source of power available to any group — persistence; the time from the League's initial approach to the institution until final approval of the program concept was just under a year. In this instance the League members involved had many political contacts, particularly with the county executive who has authority over the institution, but they believed their program could never really work until they had convinced the superintendent of its value.

Approval having been granted, the League met again with the superintendent for choice of project. They mutually agreed on the **Options** program. Although more modest in scope (no funds were involved because materials came from members and area merchants), the League believed it wise to start out with a small program that had a reasonable chance of success and, succeeding, to build on the atmosphere of trust to increase size and scope later.

The objective of the **Options** project is to introduce women inmates to expert instruction by bringing in community resources in nutrition, budgeting, cosmetology and personal improvement, arts and crafts, and other areas of interest. Secondly, it is to show the inmates how to contact community agencies which offer further instruction in these areas after their release.

Initially the League had intended to rely entirely upon the skills of its members. It became immediately clear, however, that what was most lacking in the institution was a link to the community. No community agencies were serving the facility, and the women were frequently unaware of what was available to them and to their children at little or no cost on the outside. Thus, the League decided that its greatest contribution could be serving as facilitators and liaisons between the institution and the community. The women inmates were asked to suggest topics of interest and did request some on drugs and money management, but for the most part they depended on the judgement of League members for programs. The next step was to seek the appropriate community agencies and resource people to present the programs. Each League member on the **Options** subcommittee maintained a relationship with one or two agencies or resource persons, and acted as a contact person between that agency or person and the institution. Some of the community resources used were the County Health Department, the Nutrition and Cooperative Extension Education Programs, YWCA instructors, the Buffalo and Erie County Library, and college faculties.

Later came the idea of encouraging these

community agencies and representatives to go to the institution on their own and provide continuing services after the initial League introduction. Some of those now coming regularly include the Erie County Maternal and Child Health Care, giving monthly check-ups, pap smears, lectures, and services; the Albright Knox Art Gallery; and the Erie County Nutrition and Extension Program.

Another goal of the program is to show inmates how to contact community agencies for further instruction after their release. Such involvement can aid in stabilization of family life, open up future employment possibilities, and in general, reduce the gap between the inmate and the community. To further assist the inmates in the transition to the community, the League, in conjunction with Church Women United, developed a guide book on community services and resources in Buffalo.

After the initial institutional resistance to their involvement was overcome, the League members continued to exercise care in maintaining a cooperative relationship. Most significantly, they have proven to be reliable. If a community representative cannot make a scheduled session, the League contact person draws on a contingency list and on a moment's notice may even provide a program herself. But they have also been extremely careful not to pose a threat to the institutional staff by avoiding being manipulated by inmates and becoming involved in individual complaints against system officials. When they see something wrong with the institution, they do not publicize it or attempt to bring a great deal of attention to it but follow proper channels to the administration. And whenever possible, they arrange an **Options** program to address the problem or need. In addition, they have involved the matrons and other institutional staff in some of the programs such as transactional analysis, which has benefited them and also increased their support.

There have been many offshoots from the **Options** project and from the community survey in general. At the Erie County facility, in addition to **Options**, the League has sponsored an art show, a garden for the women, and in conjunction with another club, the redecoration of three previously very drab rooms used for mental health counseling. They are also working on establishing an office of volunteer coordination and institutional research in the facility itself. In the meantime, the first League chairperson was appointed to the advisory board. The League's original theory of starting with a modest project and building on its success has generated a

criminal justice involvement beyond their expectations. The administration at the facility is now very proud of the **Options** program, and other groups including the state of Connecticut have requested material on it.

Apart from their work at the institution, the League has become involved in other criminal justice projects in the community, such as joining a coalition for court observing and monitoring,

participating in a Volunteers in Probation program, working on a media presentation on teenage prostitution, promoting a volunteer coordinator position in the New York State Division for Youth, and establishing a student-police relations program. Other projects still in the research stage indicate continuing involvement in improving the criminal justice system.

The Junior League of El Paso Advocates A Youth Services Bureau

After identifying the problem that it hoped to attack — juvenile delinquency and youth in need of assistance — the Junior League of El Paso began its drive to implement a program that would be part of a solution. Every step of the way involved communicating with members of the community to overcome resistance, get and maintain support, and acquire the necessary funding for the project.

The League set out to become familiar with the criminal justice system in order to facilitate future participation and public action in that area. Their target was the juvenile justice system, and their goal was to reduce juvenile crime by providing a diversionary program for troubled youth within the city and county of El Paso. To begin the project, the League conducted a survey to identify the extent of juvenile delinquency, how it was being handled at the time of the survey, and how the League could have an impact on the system.

The League interviewed agency personnel — federal, state, and local — who dealt with juvenile delinquents in order to compile statistics. Interviews with public officials proved problematic at this stage in the project since the officials were reluctant to meet with League members or give them accurate information. However, as a result of the survey, the League not only identified the target area for future work but also learned the importance of getting out and asking questions. They found that conducting the survey increased their commitment to action and made them more comfortable in their dealings with the power structure. This initial effort at communication paved the way for future, more successful dealings with public officials.

The survey indicated poor cooperation and coordination within the criminal justice system and the social service delivery system. The El Paso Youth Service Bureau (YSB) had proved to be a failure and was abolished by the mayor during the time of the League's study. The director of the YSB had been a political appointee by a previous mayor, and rather than following the precepts of service coordination and youth advocacy, he had attempted to do everything himself without developing community ties and support for the program. The YSB was under the mayor's Youth Service Board (established several years earlier to act as a buffer between the mayor's office and city youth who had demonstrated in small numbers), but this board had had no supervisory power over the YSB, had not attempted to tie the YSB into the community, and

was itself more or less defunct.

However, following their survey, the League realized that there was still a pressing need for cooperation among youth service agencies and for a brokerage and clearing house for troubled youth. Since the old YSB had been funded for three years, but was only in operation for two years, the League decided to attempt to reestablish a YSB and receive the third year of funding from the State Criminal Justice Division (State Planning Agency or Crime Commission).

After deciding what they were going to do, the League then began laying the groundwork for establishing a new YSB. This involved talking to community leaders and representatives of ongoing youth service programs and convincing those people in a position to help the League politically and financially to support the project.

Initially, the League made contact with a staff member of the West Texas Council of Governments (WTCOG), the regional clearinghouse for grant applications to the State Criminal Justice Division. At this time, the League learned that both the El Paso Juvenile Court Judge and city officials had contacted the WTCOG with regard to obtaining funds for a youth service bureau. A staff member at WTCOG set up a meeting with the League, the juvenile court judge, a city alderman, and himself to discuss the possibility of establishing a new youth service bureau. At this meeting, it was decided that the League and the city would co-sponsor the project. Having communicated their desire to be involved in this kind of project to the power structure, the League then began taking an active role in planning the proposed program, apparently to the surprise of city officials, who seemed to have expected the League to take a back seat and not become extensively involved.

One of the first obstacles that the League had to face was the reputation of the previous YSB. In order to overcome the skepticism of local law enforcement officials and social service agencies as well as area youth that a youth services program could work, the League had to find out what went wrong with the previous YSB and what the community needed in terms of youth services. To do this they visited with nearly 200 youth establishment and juvenile justice agencies and with supervisors and staff personnel of the criminal justice system including police, sheriff, probation departments, and courts. The League also contacted school boards and school administrators. A city alderman, a high-ranking city employee, and a representative of HEW on

temporary assignment in El Paso helped to plan some of these meetings and lent their support in the initial stages of the project.

The League also met with youth groups for input and support. These included militant Chicano groups who were apprehensive about another all-"WASP" program being unrepresentative of the Chicano population in El Paso. These contacts provided the opportunity to learn from juveniles, some of whom had been through the justice system, what they felt was important in a youth service program and why the old YSB had failed. In addition, the League visited and studied an operating youth service bureau in San Antonio to see how it had been planned and was operated.

These contacts with public officials, agencies, youth groups, and other programs were important ways of opening lines of communication within the community in order to gain support and avoid the obstacles that had hindered the previous YSB. The League thought that the lack of citizen input before community programs were planned and initiated was one reason that so many earlier city programs had failed. Thus the new YSB evolved from the input of all the groups with which the League came in contact. In this process, the League not only convinced different groups of the value of the proposed program but also sought to avoid the pitfalls that destroyed the old YSB.

Having laid the groundwork for the YSB, the League moved into the next phase of the project — convincing the power structure of its value and soliciting funds and support to make it work. Despite the fact that the city had agreed to co-sponsor the new YSB, the League still had to convince the city to accept its proposals for the program. The League wanted to create a new youth services board composed of interested citizens, representatives from both referral and referring agencies, and youth. They thought that the board should have supervisory power over the program, act as a buffer between the program and city and agency politics, advocate the continuation of the program to new city administrations, and work to develop cooperation and support among private and public agencies (many of which did not even know of the existence of the previous YSB). The city was reluctant at first to take the League's role in the project seriously; instead the city saw the League as supportive but not as a group involved in public action. After numerous meetings with members of the city government, the League was able to convince the city to accept its recommendations for a Youth Services Board and other suggestions as to how the program should operate.

During the time the League was meeting with the city, a Conference on Youth was held in El Paso. The results and findings of the conference reaffirmed what the League had been saying and served to bolster its credibility. The input from this conference, coupled with continuing efforts on the part of the League to meet and discuss with city officials the type of program which would be effective in El Paso, resulted in the city's acceptance and support of the proposals. Patience, perseverance, and support from the community were the keys to League success in winning over the city administration.

The next hurdle to overcome was obtaining the necessary funding. In conjunction with a WTCOG staff member, the League wrote a grant proposal to request state funds. In order to be eligible for state funding, the project had to be approved by the WTCOG executive board, which reviews funding requests and puts them in priority order before they go to the state for review and funding. The League had to demonstrate to the board that the program had enough community support to warrant funding — not an easy feat with a board composed of representatives of operating agencies who want funding for their own programs.

According to its staff, the League was the first community group to personally meet with the WTCOG Board. They were able to impress these officials with the interest of the community — and the League — in the project. They went to the state capitol and talked to people, soliciting information and support. The WTCOG executive committee approved the proposal, and it was forwarded to the State Criminal Justice Division for review and funding.

The League then ran into an unexpected problem that, again, took a great deal of personal communication and perseverance to overcome. After receiving verbal assurances from the Criminal Justice Division that the proposal would be funded, the League and the WTCOG were notified that the proposal was being taken off the agenda by one person who happened not to like El Paso nor youth service bureaus. The city and WTCOG were disappointed but said that they guessed El Paso would have to forget about a new youth service bureau. The League didn't think so. They moved quickly to salvage the proposal; they called their congressmen, who called the Criminal Justice Division's executive director; several League members called the director themselves; they contacted a local county commissioner who served on the Criminal Justice Division's executive board and convinced him to support the program. Then the League told the city

administration about the actions it had taken and the city began pulling some strings as well. The Criminal Justice Division put the proposal back on its agenda and funded the program.

The League learned that when a politician or elected official sees that a community group is **committed** to an issue and willing to work toward a goal, that person within the power structure is more likely to get personally involved and go to bat for the group.

The League was successful in its initial role in getting the new YSB accepted by the city and state and was instrumental in determining how the program would function. Although the city then assumed complete operation of the project, the League has had a continuing influence on it. The former League project chairperson became chairperson of the newly established Mayor's Youth Services Advisory Board, which has jurisdiction over all youth serving agencies and programs. The former League project co-chairperson is a nonboard member of the YSB evaluation subcommittee. The advisory board

which was planned by the League is represented by one-third private organizations and persons, one-third operating agencies, and one-third youth, plus nine ex-officio members from the city administration and criminal justice system. Community participation continues through the advisory board, and lines of communication have been kept open with all groups involved in YSB. Evaluation of the program has been done with League participation, and community agencies involved with the project have been contacted for their suggestions on how to improve it.

As a result of League research, planning, and political pressure, the El Paso Youth Assistance Program (name of new YSB) has become a viable one administered by the city. The League's efforts, once they had bridged the credibility gap, in overcoming obstacles and gaining support demonstrate the essential nature of communication with all groups involved with a project at every step of its development.

SECTION VI

RESOURCES

Chapter 18 Resources for Volunteer Programs

Chapter 18

Resources for Volunteer Programs

There are many resources available for planning and implementing volunteer programs in criminal justice. This chapter lists and discusses resources in the following categories:

1. ***National Voluntary Network*** — describes major voluntary organizations which provide assistance to local volunteer groups either in program development in criminal justice, or in the area of planning and managing voluntary programs in general.
2. ***National Voluntary or Civic Organizations with Local Chapters, Units, or Sections*** — lists and briefly discusses some of the many organizations which have either sponsored national criminal justice programs among their membership or have a history of involvement in systems change efforts. The locals of some of these groups might provide assistance in project development, participate in coalitions, serve as project volunteers, etc.
3. ***Governmental Programs and Agencies*** — discusses Federal Information Centers, the U.S. Department of Health, Education and Welfare, and the Law Enforcement Assistance Administration of the U.S. Department of Justice, the National Criminal Justice Reference Service, state planning agencies, and the National Clearinghouse on Criminal Justice Planning and Architecture.
4. ***Management Support and Public Relations/Communications Resources*** — lists organizations which provide technical assistance in managerial and public relations matters either for free or reduced rates to voluntary groups.
5. ***Newsletters and Periodicals*** — annotates some of the serial publications on volunteerism and/or criminal justice programs.

As discussed in previous chapters, a valuable source of information and technical assistance is the ongoing local voluntary programs in or near your community.

National Voluntary Network

Presented below are short descriptions of organizations which may be able to provide assistance during one or more of the stages in project development. Depending upon their resources and your particular needs, they may provide information or referral services; serve as consultants, helpers, workshop leaders, sounding boards, trainers, evaluators; or they may provide very specific technical assistance for the achievement of a particular task such as the completion of a funding proposal.

Some of these organizations have in the past worked more with governmental and private organizations utilizing volunteers than with citizen-initiated and operated programs, but most are dedicated to the voluntary movement and are anxious to support effective voluntary programs regardless of the impetus for such programs. Some have local branches or affiliates, while others have centralized operations. Most specialize in volunteerism in the criminal justice field, but a few, e.g., NICOV, NCVA, provide assistance in areas related to planning and managing any type of voluntary program.

The listing is by no means a comprehensive index of organizations capable of and interested in providing competent assistance to voluntary efforts. Rather it is a selected list of the more widely known groups which responded to our inquiries on what services they could provide. There are many reputable private consulting firms which provide specialized assistance at reasonable costs. Unfortunately there are also such firms which promote business by promising a lot and providing very little. We are neither recommending that you use the groups included herein nor that you avoid organizations not included. Before relying extensively on the services provided by a resource organization, it would be wise to check with other groups which have used the organization, particularly if you are contracting to pay for its services. Most of the organizations discussed below do not charge for their services, and when they do, it is for out-of-pocket expenses.

The organizations which are asterisked in the following list are geared specifically to

working with volunteers; the others are groups from which you might also get assistance.

***American Judicature Society**

200 W. Monroe Street, Suite 1606
Chicago, IL, 60606

Telephone (312) 236-0634

Contact: Mayo H. Stiegler, Director
Information Services

The purpose of the American Judicature Society (AJS) is to promote the effective administration of civil and criminal justice. AJS works toward this goal through educating citizens on the current needs in the court system, and through researching the development of better systems and more modern methods of administration.

AJS maintains a consultation/information service for its members and the public. The society also publishes *JUDICATURE*, a monthly magazine on court-related subjects, and *Joint Enterprise*, a newsletter which relates important developments in judicial reform and administration. AJS holds state and regional conferences for citizens who are interested in criminal justice.

***John Howard Association**

67 East Madison Street, Suite 1216
Chicago, IL, 60603

The John Howard Association is a private, nonprofit, national service agency involved in public information, education, and reform in the field of crime and delinquency. The association assists in the development of national program standards, conducts surveys and master plans, conducts program evaluations, and monitors programs and services in the criminal justice system.

Consultative services and written material based on research is provided nationwide to interested public and private groups to promote the effective use of local volunteers by courts. The association has long been recognized as a national leader in the development and implementation of responsible citizen action efforts to improve criminal justice programs and activities.

***National Association on Volunteers in Criminal Justice**

The temporary address for NAVCJ is:

PARTNERS

1260 Bayaud

Denver, CO, 80223

Telephone (303) 777-7000

This organization, established in early 1977, is an outgrowth of the National Forum of Volunteers in Criminal Justice, which for the past six years has held annual conferences for volunteers and professionals working with volunteers in criminal justice.

Its purpose is to promote and enhance volunteerism and administration of volunteer services in the field of criminal justice at the local, state, regional, national, and international levels by:

1. advocating for issues and concerns representative of a majority of the membership;
2. promoting and encouraging educational and training opportunities at all levels of the organization;
3. holding an annual forum;
4. providing communication between local criminal justice volunteer programs via national publication;
5. providing a national office for the purpose of centralizing activities and services of NAVCJ;
6. establishing an information referral service for criminal justice volunteer programs; and
7. providing identification and directory maintenance of local criminal justice volunteer programs.

***National Center for Voluntary Action**

1785 Massachusetts Avenue, N.W.

Washington, D.C., 20036

Telephone (202) 797-7800

The National Center for Voluntary Action (NCVA) is a nonprofit organization designed to stimulate and strengthen problem solving by volunteers and voluntary organizations, to increase public awareness about volunteer programs, and to motivate individuals and groups to become volunteers.

NCVA comprises a network of about 300 Voluntary Action Centers which are affiliated volunteer recruitment and referral agencies throughout the nation. It has launched a major training project to upgrade the level of management skills of local leaders.

NCVA's *Technical Services Division* includes both the *Volunteer Consultant Network (VCN)* and the *Clearinghouse*. In VCN, more than 100 volunteer consultants aid volunteer groups in developing their community programs by providing assistance in program development, volunteer administration, fund development, and communications and public relations.

The Clearinghouse provides groups with a variety of materials on all aspects of volunteer

administration and programming. One kind of information is the program description — a one-page program summary describing how an individual project was organized and operates, with the name and address of a contact person willing to provide more information about the project. Another kind is the reference listing which lists resource groups willing to provide assistance to volunteer groups and publications available free or at low cost. In areas of special interest, portfolios consisting of program descriptions, reference listings, and other materials have been developed. NCVA also publishes booklets in generic areas of volunteering, e.g., recruiting, funding.

These services, in addition to a quarterly magazine, *Voluntary Action Leadership*, offer interested individuals and groups a vast reservoir of helpful information. Brochures detailing the services and publications available from NCVA are available upon request.

***National Council on Crime and Delinquency**

411 Hackensack Avenue
Hackensack, N.J., 07601
Telephone (313) 398-8550

The National Council on Crime and Delinquency (NCCD), comprised of approximately 60,000 citizens and crime-control officials, organized in 1907 and incorporated as a national service agency in 1921, works to improve the criminal justice system and to maximize the effectiveness of law enforcement, juvenile and criminal courts, and correctional institutions and programs. NCCD seeks to stimulate community programs for the prevention, treatment, and control of delinquency and crime. It carries out programs designed to help protect the public against organized crime.

NCCD maintains the country's largest citizen action program in this field. Informed and motivated councils of citizens at the state and local level work under NCCD direction to improve the criminal justice system.

Through its specialized staff the council:

- studies criminal justice agencies and provides guides to action;
- develops professional standards and guide materials for use by police, judges, correctional workers, and laymen;
- drafts model legislation and provides legal advisory service to legislators, criminal justice agencies, and citizen groups;
- develops volunteer correctional programs and volunteer probation services for juvenile and misdemeanor courts;

- conducts an annual conference, organizes training institutes, and stimulates professional training for career service in criminal justice agencies;
- serves as a clearing house for comprehensive information about crime and delinquency and maintains an extensive library containing books on crime and delinquency published in America during this century along with thousands of letters, clippings, brochures, unpublished articles and speeches, and annual and biannual reports of numerous agencies in the criminal justice system. (Much of the collection is available on loan, and the library provides information service by mail and telephone.)
- carries out, through its research center, major projects in criminal justice; and
- publishes literature for both professional and lay interests. In addition to books and articles, four periodicals are published: *Criminal Justice Abstracts*, *Criminal Justice Newsletter*, *Crime and Delinquency*, and *Journal of Research in Crime and Delinquency*.

NCCD has contracted with such organizations as the Association of Junior Leagues and the AFL-CIO to develop guidelines, training programs, and resource materials, and to provide other types of technical assistance to their members in developing volunteer programs to change the criminal justice system. NCCD is a nonprofit citizen organization supported by contributions from community chests and funds, foundations, business corporations, and individuals interested in expanding its work and services.

***National Information Center on Volunteerism (NICOV)**

P. O. Box 4179
Boulder, CO, 80302
Telephone (303) 447-0492

NICOV, a nonprofit organization devoted to the expansion and dissemination of knowledge about volunteerism, provides technical assistance, consultation, training, and program evaluation for citizen involvement efforts. Under the leadership of Dr. Ivan Scheier, NICOV has developed the People-Approach Method of Volunteer Involvement which gives broader direction to volunteer job descriptions.

NICOV's *Volunteer Program Problem-Solving Information Retrieval Library (PIRL)* is designed to handle all levels of requests for information, from the basics to the unusual research request. PIRL contains over

2,500 files on volunteer programs, recurrent problem areas, functions, and issue areas. Integrated with this information unit is a **Catalog Sales Division** offering works in such areas as program development, program administration, boards, staff and client development, program administration, boards, staff and client development, liability and insurance, workshop planning, research, and evaluation.

NICOV's **Education and Training Unit** is involved in research and field testing of educational opportunities and training techniques for the leadership of citizen participation programs. It is available on a contract basis to conduct training in the field.

NICOV's **Evaluation Unit** provides need assessment and evaluation of volunteer programs at local, state, regional, and national levels. In addition to field site visits and emphasis on program strengths, their program evaluations include developmental growth plans. An innovative but widely accepted evaluation model developed by NICOV is the Basic Feedback System which provides the volunteer leader with a do-it-yourself program evaluation tool for a variety of program components.

Other activities conducted by NICOV include the annual **Frontier Conference**, participation in workshops and forums, and a quarterly journal on the issues and activities in the field of volunteerism.

There are several types of membership available in NICOV through which an individual or an organization can receive technical assistance for its programs. Services of NICOV are not, however, restricted to its members.

***The National Self-Help Resource Center, Inc.**

1800 Wisconsin Avenue, Northwest
Washington, D.C., 20007
Telephone (202) 338-5704

Contact: Susan Davis, Executive Director

The National Self-Help Resource Center, Inc. encourages and trains volunteers in citizenship activities through the development of community resource centers. The center provides technical and practical information and has established a national network of community resource centers to exchange information and technical assistance.

The center conducts workshops oriented to the local volunteer for planning, fund raising, communications, management, project evaluation, community information systems, and development of community resource centers.

A resource library, inquiry services, and on-site technical assistance are available for a fee.

***National Student Volunteer Program ACTION**

806 Connecticut Avenue, N.W.

Washington, D.C., 20009

Telephone (800) 424-8580 (toll free)

The National Student Volunteer Program (NSVP) was established by ACTION's Office of Education Programs to provide assistance to student volunteer programs on high-school and college campuses across the country. The services available through NSVP include:

1. Technical Assistance materials

Synergist, NSVP's journal published three times each school year to communicate new ideas, techniques, and resources to both high-school and college service-learning programs.

It's Your Move, a basic guide written to assist community groups and agencies that are working with student volunteer programs.

Planning by Objectives, a planning manual designed to help people who work with student volunteers learn a system for effectively planning and implementing service-learning programs.

Training Student Volunteers, a training manual developed to help student volunteer coordinators and others plan and conduct training activities for students involved in community service programs.

Funding Kit, a guide designed to aid in developing funding resources for service-learning programs.

High School Student Volunteers, a basic manual written to help secondary school officials conceive and implement service-learning programs.

High School Courses with Volunteer Components, twelve case studies prepared to help high school faculty design courses in which community service activities complement classroom work.

2. Training sessions for teachers and administrators working with high-school service-learning programs, professional staff, and leadership of college service-learning programs are held periodically during the school year. These sessions are designed to assist staff in planning and managing programs that integrate students into community service activities.

3. On-site consultation is available to programs in need of direct assistance. It is also offered to groups sponsoring conferences or workshops on various aspects of student volunteer programming.

***Social Advocates for Youth (S.A.Y.)**

National Office
975 Northpoint Street
San Francisco, CA, 94109
Telephone (415) 928-3222

S.A.Y. is a system of twelve nonprofit centers located in four states with a national administrative office in San Francisco. S.A.Y. centers provide individualized services to young people and their families, and work toward positive change in institutions affecting the lives of young people.

The national office is available to assist organizations or community groups wishing to establish similar services in their communities. It provides administrative and technical assistance to local centers, including tax return preparation and accounting, legal advice, fund raising, training, program development, and library and information exchange. The national office also acts directly as an advocate for youth; new legislation is monitored by the staff. The S.A.Y. newsletter keeps a wide readership informed on developments in the juvenile justice system.

For more information, write the national office for copies of their brochures and pamphlets on the program.

***Volunteers in Probation**

Division of the National Council on
Crime and Delinquency
200 Washington Square Plaza
Royal Oak, MI, 48067
Contact: Keith Leenhouts, Director

The Volunteers in Probation Division of the National Council on Crime and Delinquency (VIP-NCCD) is dedicated to improving every phase of the criminal justice system through the use of volunteers. VIP-NCCD feels that volunteers are useful not only in the probation phase, but also in prevention, prosecution, institutions, and parole, and is attempting to generate further voluntary involvement in these areas. The VIP program under the leadership of Keith Leenhouts is largely credited for the great expansion of volunteerism in criminal justice over the past ten years.

VIP-NCCD provides consultation to groups and individuals interested in starting volunteer

programs in the courts and in correctional institutions. Toward the establishment of new programs and the improvement of existing ones, VIP-NCCD sends out all types of literature and participates in scores of state, regional, and national conferences. Recently, VIP-NCCD developed the "VIP-NCCD National Training Program" in order to inspire, solicit, and train volunteers. The program consists of thirty-four hours of audio-visual TV cassettes, a training manual, and a curriculum for use by colleges and programs utilizing volunteers. The training program is designed for volunteers, professionals, and college students.

With a recent grant from the W.K. Kellogg Foundation, VIP-NCCD has in conjunction with the University of Alabama established a National Criminal Justice Volunteer Resource Service at the University of Alabama in Tuscaloosa. It is expected that the resource service will greatly increase the services that VIP-NCCD has offered over the years to courts, jails, prisons, juvenile institutions, and preventive volunteer programs. A quarterly newspaper published by VIP-NCCD, *The VIP Examiner*, is an excellent source of information exchange on what volunteers across the country are doing in criminal justice.

***The Women's Crusade Against Crime**

1221 Locust Street
St. Louis, MO, 63103
Telephone (314) 231-0425

The Women's Crusade Against Crime comprises several thousand volunteers banded together to:

- teach women how to protect themselves, their families, and their neighborhoods from criminal abuse;
- educate themselves and the public on all facets of the criminal justice system; and
- take action to achieve needed reforms.

Primarily, the crusade probes problems, possible solutions, and projects in the areas of police, courts, corrections, and youth.

Organized in 1970 at the request of the mayor of St. Louis, the crusade was initially a local effort. Since that time, crusades have been established across the country and include neighborhood efforts as well as statewide coalitions. Recently the crusade in St. Louis received a national two-year grant from LEAA to implement crime prevention programs throughout the country. Both technical and financial assistance are available from the crusade through this grant to help other

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community groups establish criminal justice programs.

For information on how to establish a crusade, descriptions of action programs established by different crusades, and guidelines on how to apply for assistance, contact the crusade at the above address. A newsletter, *Crusade Courier*, and numerous brochures on specific program areas, e.g., "Youth and the Law," "Lady Be Careful," and "The Importance of Being a Witness" are available.

American Bar Associations (ABA)

The ABA has many programs, activities, and publications focused on improving the criminal justice system. Also many local and state bar associations have criminal justice committees which you may call to find out what information they have, what activities they are involved in, etc. Discussed below are two programs of the national organization.

ABA Section of Criminal Justice

American Bar Association
1800 M Street, N.W., 2nd Floor
Washington, D.C., 20036
Telephone (202) 331-2260

The section works with bar and judicial groups, criminal justice agencies, the media, and citizen groups by providing assistance to upgrade criminal codes and rules of criminal procedure, to encourage comprehensive criminal justice planning, and to implement standards for criminal justice. The section provides resource materials and expert speakers for bar, judicial, and citizen meetings throughout the nation. It sponsors special programs to upgrade skills of criminal lawyers and criminal justice personnel. The trained speakers and resources for the on-site assistance come from a national network of more than 10,000 section members.

The section has prepared many notable publications on criminal justice reform. *The American Bar Association Standards Relating to the Administration of Criminal Justice* constitute in seventeen volumes a synthesis of the best available practices in every stage of a criminal proceeding. Volume eighteen of the standards is a compilation of all the "black letter" standards including a comprehensive index to the individual standards but not including the commentary and supporting data for each of the standards. In the past several years the *Standards* have been cited as authority in over 5,000 appellate decisions.

While the *Standards* are for sale, twenty-six companion publications on how to implement the *Standards* are free. These include such titles as "How to Measure the Quality of Criminal Justice," "How to Diagnose What's Wrong with the Criminal Justice System in Your State and What to Do About It," "How to Implement Criminal Justice Standards for Pre-Trial Release," etc.

Modernizing Criminal Justice Through Citizen Power, produced by the section in cooperation with the Chamber of Commerce of the United States, is a brochure detailing specific strategies citizens can take to monitor and work toward improvement of local criminal justice systems. A video tape/film to accompany this brochure may be obtained for a five dollar loan fee.

A publications order form with a complete listing of monographs, reprints, books, and articles, including a quarterly newsletter, and additional information on the activities of the section may be obtained from the previously noted address.

ABA — Special Committee on Youth Education for Citizenship

Mr. Norman Gross, Director
American Bar Association —
Youth Education for Citizenship
1155 East 60th Street
Chicago, IL, 60637
Telephone (312) 947-3960

The special committee encourages and supports programs on the law and legal system in America's elementary and secondary schools. The committee's work is premised upon the recognition that most Americans do not understand the laws that affect their everyday lives, nor are they familiar with the processes of law and how to deal with them. On-site field consultation is provided to school systems, bar associations, justice agencies, and other community groups interested in developing school programs in law education. In addition, the committee has prepared numerous publications and a film, holds regional conferences, offers workshops, and conducts research and evaluation studies. Some of these efforts are directed toward emphasizing the need for law education, others toward how to plan and administer law education programs, and still others toward an assessment of existing programs. A detailed listing of available publications and information on the other service is available from the committee.

American Correctional Association National Offender Services CONTACT Center

write: ACA CONTACT Center
P.O. Box 81826
Lincoln, NB 68501
Telephone: (402) 464-0602
Stop in: 27th and Industrial Avenue
Lincoln, NB (8:00 a.m. - 5:00 p.m. CST)

CONTACT receives input from all criminal justice agencies and professionals willing to participate and in turn disseminates this information free-of-charge to whoever needs it: inmate, warden, academician, student, citizen, etc. The normal response time is three days for those questions to which they have the answers in-house, and ten days for those questions requiring in-depth research. CONTACT also compiles information packets in selected topical areas, e.g., female offenders, juvenile delinquency, etc. Two monthly newsletters are published and distributed free of charge: The *Corrections Compendium* is available to whoever would like to receive it; another publication is available to "key decision makers" in the criminal justice field. CONTACT's in-house printing facilities are contractually available for those interested in printing a newsletter or other publications.

Children's Defense Fund

24 Thorndike Street
Cambridge, MA, 02141

The Defense Fund serves as an advocate for youth in such areas as school discipline, special education, health services, juvenile justice, and social services for families and children. Publications available for four dollars per copy from: 1520 New Hampshire Avenue, N.W., Washington, D.C., 20036 include: *Children Out of School in America*, *School Suspensions: Are They Helping Children*, and *Doctors and Dollars Are Not Enough*.

Correctional Solutions, Inc. (CSI)

22 Ellsworth Avenue
Cambridge, MA, 02138
Telephone (617) 491-3080

Correctional Solutions Inc. will train and offer support services to groups of fifteen or more volunteers interested in organizing a counseling program in a correctional facility. Training is conducted in an intensive two-day weekend in which the basic Thresholds counseling methodology and techniques are presented through lectures, workshops, and participatory exercises. Support services include

manuals and workbooks as well as assistance in organizing a group of volunteers, contacting and building support with institutional personnel, and establishing an ongoing training program. In the last ten years CSI has conducted basic training for over fifty local programs across the country, including the Champaign-Urbana coalition discussed in the case study on pages 227 to 228. For more details on the program refer back to that case study.

International Prisoner's Aid Association (IPAA)

Dr. Badr-El-Din Ali, Executive Director
Department of Sociology
University of Louisville
Louisville, KY, 40208
Telephone (502) 588-6836

IPAA may be able to provide information on the role of volunteers in offender rehabilitation, agencies dealing with offender aid in various countries, treatment of prisoners in different countries, incarceration of foreign prisoners, and need for penal reform in several nations.

National Association of Counties Research Foundation

Criminal Justice Program
1735 New York Avenue, N.W.
Washington, D.C., 20006

The foundation maintains a listing of exemplary county programs in criminal justice. It has published *Juvenile Delinquency: A Basic Manual for County Officials*.

National Council of Juvenile Court Judges (NCJCJ)

Louis W. McHardy, Executive Director
University of Nevada
P.O. Box 8978
Reno, NV, 89507

In cooperation with the National Congress of Parents and Teachers, NCJCJ has held several local, state, and national conferences to educate citizens on the needs of children. NCJCJ can provide technical assistance in all aspects of the juvenile justice system. Its "Non-Judicial Handling Committee" can provide volunteers with information on community projects helping children in the courts. Audio-tape cassettes — including programs on runaways, the child advocate, delinquency prevention, and the schools — are available. The NCJCJ Textbook Series includes volumes on *Legal Rights of Children* and *The Non-Delinquent Child in Juvenile Court: A Digest of Case Law*.

A list of books, periodicals, and tapes are available upon request. Numerous training programs are conducted throughout the year on juvenile justice topics.

PARTNERS, Inc.
1260 West Bayaud
Denver, CO, 80223

PARTNERS, Inc. conducts administrative seminars for individuals interested in developing volunteer supportive programs. The seminars encompass all aspects of programming individualized development — recruiting, volunteer support, community support, governmental alliance, funding, etc. A brochure on the seminars is available upon request. Additionally, PARTNERS, Inc. will assist communities interested in developing their own PARTNERS program. Continuing administrative support is provided to operative programs.

Vera Institute of Justice
30 East 39 Street
New York, NY, 10016
Telephone (212) 986-6910

The Vera Institute of Justice will provide written information and will answer questions concerning its projects and research in bail reform, diversion, assistance to victims and witnesses, parole and temporary release procedures, supported work for ex-offenders and addicts in treatment, and other selected areas in criminal justice. In addition to providing information, Vera enters into contracts with private groups and governmental agencies wishing to set up projects similar to its own.

National Voluntary or Civic Organizations with Local Chapters, Units, or Sections

Estimates of the number of voluntary associations in the United States range from five to seven million and more. Included are religious organizations, service groups, professional and labor associations, recreational groups, civic organizations, and others. Many local voluntary groups are affiliates of national or regional organizations. Some have sponsored association-wide programs focusing on various aspects of the criminal justice system; many other local groups have been independently involved in criminal justice activities. As discussed in Chapters 15 and 17, change is dependent upon organized group action. The

local branches of many voluntary organizations provide opportunities to engage in collaborative action through coalitions and other coordinated efforts. Chapter 15 also discusses the different types of support and assistance that you might receive from local groups regardless of whether they have had prior experiences working in the criminal justice field. These include assistance in various aspects of project development, volunteer recruitment and training, fund raising, public relations, information on your community, etc.

Presented below is a listing of selected voluntary organizations which have been involved in criminal justice related programs or other efforts to change societal institutions. For a complete list of voluntary organizations, see the *Encyclopedia of Associations*, available in the reference departments of many libraries.

1. American Association of University Women (AAUW)
2401 Virginia Avenue, N.W.
Washington, D.C., 20037
Phone: (202) 785-7700

AAUW branches have a long history of involvement in social action and systems change efforts. The national office issues many publications, available from their sales office, related to action. These include:

- *Tool Catalog: Techniques and Strategies for Successful Action Programs* (\$6.50);
- *Action Is Our Bag: A Working Guide for Planned Community Change* (\$1.00);
- *Power Quotient Bag: A Working Guide for Developing Power* (\$1.25).

The *Tool Catalog*, from which the appendices to Chapters 16 and 17 in this book were adapted, includes very specific "how-to" information to use in carrying out a variety of action projects, along with helpful information sources for each type of program presented. The other two publications are multimedia kits with booklets, charts, records, self-analysis forms, posters, and games. They were designed to help you become generally aware of community needs, involved with community problems, and mobilized for community action.

2. AFL-CIO
Department of Community Services
815 16th St., N.W.
Washington, D.C., 20006

State and local labor groups, central labor councils, and individual local unions have been extensively involved in attempts to improve the

criminal justice system in their communities. In cooperation with the National Council on Crime and Delinquency, the AFL-CIO Department of Community Services has launched several national scope projects aimed at crime prevention. These have received enthusiastic support from locals. For copies of brochures and flyers describing AFL-CIO's involvement and program guidelines, write the national office at the above address.

3. American National Red Cross
Office of Community Volunteer
Programs
17th and D Streets, N.W.
Washington, D.C., 20006

From their Chapter Program Exchange files, the national office will share examples of programs developed by local chapters, many of which have developed youth service and criminal justice related programs. Contact names and addresses of any of their organizational resources will be provided upon request.

4. Association of Junior League, Inc.
(AJL)
825 Third Avenue
New York, NY, 10022

As discussed in the preface, AJL initiated its IMPACT project in 1973. More than 180 Junior Leagues conducted extensive surveys of their local criminal justice systems and more than 150 developed some kind of action project as a result. A number of Leagues are continuing their interest in criminal justice through advocacy and public affairs programs, sometimes utilizing, where they exist, statewide public affairs committees. Information on these activities can best be obtained through direct contact with local Leagues.

In addition to their experiences in criminal justice, Junior Leagues have a wealth of experience in researching, developing, funding, and administering community projects. League members typically receive training in management, planning, self-assessment, and advocacy, among other skills.

5. Chamber of Commerce of the United
States
1615 H Street, N.W.
Washington, D.C., 20062

Hundreds of local chambers have sponsored or participated in a variety of community crime prevention programs. The national office has issued several publications — books, brochures, and slide shows — on citizen participation in criminal justice, including the highly regarded

Marshaling Citizen Power Against Crime, cited in Chapter 2.

6. General Federation of Women's Clubs
(GFWC)
HANDS-UP Program, Faye S. Warren,
Deputy Director
1728 N Street, N.W.
Washington, D.C., 20036, (202) 347-6450

GFWC launched HANDS-UP, a national volunteer effort to halt crime, in 1975. Basic goals of the program are to increase national awareness of the citizen's role in crime reduction and to encourage the formation of local action groups charged with developing and acting upon recommended solutions to crime problems. Local clubs surveyed social service agencies, GFWC members, and the public on their attitudes and opinions about crime and the criminal justice system. In early 1976, a national meeting of GFWC delegates, representatives from ethnic and special interest groups, ex-offenders, criminal justice specialists, citizen leaders, and victims was held. They learned processes for initiating action programs for crime reduction. Since that time area summits or community forums have been held, local action groups and alliances or coalitions formed, and crime prevention projects implemented by local clubs throughout the country. The GFWC office will provide groups interested in joining with HANDS-UP or benefiting from their experiences with the names of state HANDS-UP chairmen, ongoing projects, statewide coalitions, resources, and activities in each state as well as national resource groups and coalitions working with the program.

7. Kiwanis International
101 East Erie Street
Chicago, IL, 60611

In the fall of 1976, Kiwanis International launched a major program designed to unite its 7,000 Kiwanis clubs around the world in a concerted effort to reduce crime and alleviate its effects. Program models have been adopted in such areas as citizen reporting of crime, residential security, property identification, neighborhood watch plans, and citizen-police cooperative efforts.

8. League of Women Voters of the
United States
1730 M Street, N.W.
Washington, D.C., 20036

Focusing on government and civic affairs, the League's affiliates are active in monitoring and community education. The Washington

office maintains an index of League projects. If you send a brief description of your interest area, the League's state and local government staff will send you a list of leagues that have conducted related projects. The league has issued many publications relevant to planning and implementing action projects. These include:

- a series of booklets with survey questions, e.g., "Know Your Community," "Know Your County," "Know Your State," "School Survey Guide";
- "Politics of Change";
- "Action Handbook";
- *The Art of Raising Money*; and
- "Shaking the Money Tree."

Write for a catalog for a complete listing.

9. National Council of Jewish Women, Inc.
15 E 26th Street
New York, NY, 10010

Approximately 3,000 council women representing 123 sections in thirty-four states and the District of Columbia participated in a year-long survey and study of the juvenile justice system in their communities. A 100-page pamphlet entitled "A Guide to Study and Action on the Juvenile Justice System in Your Community" was prepared to guide local groups participating in the survey. This pamphlet includes orientation material, questions with blanks, and score cards for assessing local conditions. The results from the local surveys were analyzed on a national basis, and a report of the findings published in *Children Without Justice*. Council women, frequently in coalition with other groups, followed up their surveys with action projects designed to change the juvenile justice system. A later publication, *Symposium on Status Offenders: Manual for Action*, is directed toward aiding citizen groups to meet the long-term goal of provision of community-based services to youth. This volume includes a discussion of the problems which confront community organizations in their efforts to design and implement action programs and suggests ways of overcoming such obstacles. Examples of three projects undertaken by NCJW Sections illustrate applications of the suggested strategies.

Other publications related to citizen efforts in juvenile justice include: "Children's Rights," "How to Set up a Group Home," and "Coalitions for Action."

10. National Council of Young Men's Christian Association (YMCA)

291 Broadway
New York, NY, 10007

In early 1971, the YMCA entered into a full-fledged commitment "to change the conditions that foster alienation, delinquency, and crime." One of a number of expressions of this commitment has been the National YMCA Juvenile Justice Project, a demonstration and technical assistance effort geared to the needs of local associations. In recent years, a growing number of local YMCAs around the country have been altering or expanding their services to include youth who are in trouble with the law or with established social institutions and norms. General approaches and specific programs which seem to work best for local YMCAs seeking meaningful involvement in the juvenile justice issues of their communities were derived from a lengthy study of local programs and published in an excellent "how-to" manual entitled *Planning for Juvenile Justice*. This manual is available from the Urban Action and Program Division of the National Office.

11. The United States Jaycees
Box 7
Tulsa, OK, 74102

Local Jaycee chapters throughout the country are participating in the nationally sponsored Project Mainstream, which focuses on serving the disadvantaged by eliminating poverty in some way. Areas of concentration for local projects under this program are economic development, disadvantaged youth assistance, housing utilization, elderly assistance, and self-development. A monthly publication, *Mainstream Currents*, relays information on the projects sponsored by local groups.

Governmental Programs and Agencies

In recent years, the federal government has played an increasingly important role in the human services domain, including matters related to criminal justice and to voluntary action. Federal agencies not only control the purse strings for much of the monies available for innovative programming in criminal justice, but they are vast reservoirs of information on the problems, needs, and past and current activities in the field. Unfortunately, burgeoning bureaucracy and continual reorganizations make tying into the resources of the federal government a difficult task for even full-time, seasoned administrators.

The Law Enforcement Assistance Administration is the principal federal agency with responsibility for matters related to criminal justice. But as recognition that criminal justice is an open system affected by all other societal problems and institutions increases, so does the role of federal agencies with responsibilities in such areas as education, welfare, employment, etc. Accordingly, for many preventive, diversionary, and community-based programs, informational, curricula, financial, or other assistance should be available from such agencies as the Department of Labor with its Comprehensive Employment and Training Act (CETA); the Department of Health, Education and Welfare; the Economic Development Commission with its Community Development Act; the Department of Commerce; and others.

Discussed below are Federal Information Centers, the Department of Health, Education and Welfare; the Law Enforcement Assistance Administration; state law enforcement planning agencies; and the National Clearinghouse for Criminal Justice Planning and Architecture.

Federal Information Centers

Federal Information Centers have been established to reduce the confusion and runaround of dealing with the federal government. They attempt to answer questions or to refer you to the right office for information about the agencies, programs, and activities of the federal government. Located in 37 major cities throughout the country with toll-free tie lines in 40 additional cities, these centers may be contacted by phone, mail, or visit. For a list of Federal Information Centers, write:

General Services Administration
Washington, D.C., 20405

U.S. Department of Health, Education And Welfare (HEW)

Most services related to juvenile delinquency which were originally sponsored by HEW have

been transferred to the Law Enforcement Assistance Administration. Many preventive programs focusing upon disadvantaged youth are still within HEW's domain, however. During the early period of the Carter administration, all human development and social service programs in HEW were consolidated in the Office of Human Development. The goal of this office is to integrate and coordinate services focusing on the individual, the family, and the community so as to help maximize individual potential, strengthen the family, and build supportive communities. Included under the Office of Human Development are:

- the Office of Child Development, which includes the Children's Bureau, Head Start, and other programs for children and parents. This office serves as the coordination point for all federal programs for children and their families, coordinates Child Abuse and Neglect Activities, and acts as an advocate for children.
- the Youth Development Office, which funds shelters for runaway youth.

Limited funds are available through a variety of grant programs and for programs mandated by Titles XX and IV-B of the Social Security Act. Programs under Titles XX and IV-B include such services as day care, foster care, housing services, etc. These are largely financed under a special revenue sharing program using a 75/25 per cent federal/state match.

HEW has divided its field operations into 10 regions. Within each region is a regional office from which the Department conducts its business in the region, with the regional director acting as the Secretary's representative. If you are interested in exploring the possibility of obtaining information, funding, or other resources from HEW, you will want to contact your regional office. A listing of the 10 regional offices along with the states included in each region follows.

Regional Offices of U.S. Department of Health, Education, and Welfare

Region
I. New England

Address
John F. Kennedy Federal Building
Boston, MA, 02203
(617) 223-6831

- | | |
|---|--|
| II. New York, New Jersey,
Delaware, Virgin Islands,
and Puerto Rico | Federal Building
26 Federal Plaza
New York, NY, 10007
(212) 264-4600 |
| III. Pennsylvania, Maryland,
Virginia, and West Virginia | 3535 Market Street
Philadelphia, PA, 19101
(215) 596-6492 |
| IV. Kentucky, Tennessee, North
and South Carolina, Mississippi,
Alabama, Georgia, and Florida | 50 7th St., NE
Atlanta, GA, 30323
(404) 881-4817 |
| V. Minnesota, Wisconsin, Michigan
Illinois, Indiana, and Ohio | 300 S. Wacker Dr.
Chicago, IL, 60606
(312) 353-5160 |
| VI. New Mexico, Texas, and
Oklahoma | 1200 Main Tower
Dallas, TX, 75202
(214) 656-3301 |
| VII. Nebraska, Iowa, Kansas, and
Missouri | 601 E. 12th St.
Kansas City, MO, 64106
(816) 374-3436 |
| VIII. Montana, North and South
Dakota, Wyoming, Utah, and
Colorado | 1961 Stout St.
Denver, CO, 80202
(303) 837-3373 |
| IX. California, Nevada, Arizona,
Guam, and Hawaii | Federal Office Building
50 Fulton St.
San Francisco, CA, 94102
(415) 556-6746 |
| X. Washington, Oregon, and Alaska | Arcade Plaza
1321 Second Ave.
Seattle, WA, 98101
(206) 442-0420 |

U.S. Department of Justice, Law Enforcement Assistance Administration

The Law Enforcement Assistance Administration (LEAA) was created by Congress with the passing of the Omnibus Crime Control and Safe Streets Act of 1968. As an agency of the Department of Justice, LEAA, among its other functions, sponsors comprehensive state planning for the reduction of crime and the improvement of the criminal justice system; stimulates the creation of innovative methods dealing with nationwide crime problems; advises state and local governments on technical matters; assists with the training and education of criminal justice personnel; maintains comprehensive statistics on criminal offenders, victims, and crime programs; and conducts research into all aspects and phases of crime and the criminal justice system.

LEAA operates under a philosophy that, while crime impacts the nation as a whole, it "is essentially a local problem that must be dealt with by state and local governments if it is to be controlled effectively."

LEAA is the major source of funds for innovative criminal justice programs. It is strongly recommended that you become acquainted with this agency as thoroughly as possible. For additional information on LEAA obtain a copy of *The Law Enforcement Assistance Administration: A Partnership for Crime Control* from:

LEAA
United States Department of Justice
633 Indiana Avenue, N.W.
Washington, D.C., 20531

LEAA Grant Programs

LEAA commands an annual budget approaching one billion dollars, the majority of

which is dispersed, through various types of grants.

Planning Grants. In order to stimulate local and state involvement, a minimum of \$200,000 is made available annually to each state which formulates a state plan that represents "a total, integrated analysis of the problems regarding law enforcement and criminal justice in the state." As a rule, 40 per cent of each state allocation must be made available to local government units. Various matching requirements, usually 5 per cent, are applied to the funding.

Block Action Grants. Upon the approval of the state plan by LEAA, varying amounts of additional monies are made available for the carrying out of specific improvements. Allocated according to population, block grant funds are then subgranted to cities, counties, and state agencies. Once again minimal matching requirements must be met.

Discretionary Grants. Direct grants are also available to states, cities, counties, and nonprofit organizations. Such funds are granted for innovative and experimental projects, and those that address national priorities. For more information on the discretionary grant program, obtain a copy of the *Guide for Discretionary Grant Programs* from LEAA at the previously noted address. The major discretionary grant program applicable to citizen-initiated efforts is the Community Anti-Crime Program discussed below.

LEAA's *Community Anti-Crime Program* was initiated "to assist community organizations, neighborhood groups and individual citizens in becoming actively involved in activities designed to prevent crime, reduce fear of crime and improve the administration of justice." According to the Department of Justice, the objectives of the program are:

1. To establish new community and neighborhood-based anticrime organizations which can mobilize neighborhood residents, including youths, in citizen-controlled crime prevention activities.
2. To strengthen and/or expand existing community and neighborhood-based anticrime organizations.
3. To provide a community/neighborhood-based focus to crime prevention activities including programs for the elderly.
4. To integrate neighborhood anticrime efforts with appropriate community development activities.

Projects which might expect funding under the Community Anti-Crime Program would fall under the categories of neighborhood patrols,

block watch programs, tenant security programs, escort services for the elderly, child protective services, residential security education, youth crisis centers, community-based victim assistance programs, juvenile counseling centers, and volunteer-based recreational programs.

National Criminal Justice Reference Service (NCJRS)

The Reference Service is a function of the National Institute of Law Enforcement and Criminal Justice, which in turn is a unit of the Law Enforcement Assistance Administration. NCJRS "acquires, indexes, abstracts, stores, retrieves, and distributes reports and information essential to help improve the functioning of the criminal justice system."

The Reference Service maintains one of the most extensive data banks for criminal justice information available in the United States. The service is free, and its use is strongly encouraged. Among the many services provided by NCJRS are notification of published information in selected areas, reference and information, bibliographic listings, document retrieval, microfiche, document loans, and translations. A copy of *User's Guide to NCJRS* may be obtained by writing:

NCJRS
P. O. Box 24306
S.W. Post Office
Washington, D.C., 20024
Phone: (202) 755-9704

Office of Research Programs

One important aspect of the national effort to study and prevent crime is research. The Office of Research Programs, under the auspices of the National Institute of Law Enforcement and Criminal Justice (NILECJ), was established specifically for the purpose of developing and sponsoring research programs that are designed to improve the understanding and effectiveness of the criminal justice system. The Office has six divisions, which are listed below with examples of the type of research sponsored by each division.

1. **Police** — criminal investigation process, police performance measures
2. **Courts** — witness cooperation, courts performance measures
3. **Community Crime Prevention** — architectural design for crime prevention, model procedures for handling rape cases
4. **Corrections** — parole decision policy, women's correctional programs

5. **Advanced Technology** — bloodstain analysis, lightweight body armor

6. **Special Programs** — national evaluation program, visiting fellowship program

Further information concerning the Office of Research Programs may be obtained by writing NILECJ at the previously noted LEAA address. For information concerning any specific research project contact the National Criminal Justice Reference Service as listed in the previous section.

Office of Technology Transfer (OTT)

The National Institute of Law Enforcement and Criminal Justice is the research center of LEAA. The Office of Technology Transfer functions to bridge the gaps between researchers and criminal justice personnel and between theory and practice. OTT maintains three interdependent divisions: Model Program Development, Training and Testing, and Reference and Dissemination. Within these three divisions, OTT provides practical guidelines for model criminal justice programs, training workshops for criminal justice executives, and field tests of important and new approaches.

Additional information concerning OTT is available from NILECJ.

State Planning Agencies

Every state has a planning agency for criminal justice programming. This agency, whether called a planning agency, crime commission, etc., is responsible for planning and coordinating criminal justice programs and projects within the state. It is through these agencies that most LEAA funds are channeled.

There is no substitute for a thorough understanding of the state planning agency in your state. SFA meetings are open to the public and attendance at these meetings will not only increase awareness of what is going on in criminal justice in your state, but will also give you insight into the workings of funding agencies in general. Generally, these agencies are required to include citizen input. Careful observation may allow you to influence the decision making on grant awards, planning, and appointments to the commissions. A list of the state planning agencies follows.

ALABAMA

Robert G. Davis, Director
Alabama Law Enforcement Planning
Agency
2863 Fairland Drive
Building F, Suite 49
Executive Park
Montgomery, AL, 36111
(205) 277-5440

ALASKA

Charles G. Adams, Jr., Executive Director
Alaska Criminal Justice Planning Agency
Pouch AJ
Juneau, AK, 99801
(907) 465-3535

AMERICAN SAMOA

Judith A. O'Conner, Director
Territorial Criminal Justice Planning
Agency
Office of the Attorney General
Government of American Samoa
Box 7
Pago Pago, American Samoa, 96799
633-5221 (Overseas Operator)

ARIZONA

Ernesto G. Munoz, Executive Director
Arizona State Justice Planning Agency

Continental Plaza Building, Suite M
5119 North 19th Avenue
Phoenix, AZ, 85051
(602) 271-5466

ARKANSAS

Gerald W. Johnson, Executive Director
Governor's Commission on Crime and Law
Enforcement, 1000 University Tower
12th at University
Little Rock, AR, 72204
(501) 371-1350

CALIFORNIA

Douglas R. Cunningham, Executive Director
Office of Criminal Justice Planning
7171 Bowling Drive
Sacramento, CA, 95823
(916) 156

COLORADO

Paul G. Quinn, Director
Division of Criminal Justice
Department of Local Affairs
1313 Sherman Street, Room 419
Denver, CO, 80203
(303) 892-3331

CONNECTICUT

William H. Carbone, Executive Director
Connecticut Justice Commission
75 Elm Street
Hartford, CT, 06115
(203) 566-3020

DELAWARE

Christine Harker, Executive Director
Delaware Agency to Reduce Crime
1228 Scott Street
Wilmington, DC, 19806
(203) 571-3431

DISTRICT OF COLUMBIA

August Milton, Acting Executive Director
Office of Criminal Justice Plans and
Analysis
Munsey Building, Room 200
1329 E Street, NW
Washington, DC, 20004
(202) 629-5063

FLORIDA

Charles R. Davoli, Bureau Chief
Bureau of Criminal Justice Planning and
Assistance
620 S. Meridian
Tallahassee, FL, 32304
(904) 488-6001

GEORGIA

Jim Higdon, Administrator
Office of the State Crime Commission
1430 West Peachtree Street, NW, Suite 306
Atlanta, GA, 30309
(404) 656-3825

GUAM

Alfred F. Sablan, Director
Territorial Crime Commission
Office of the Governor
Soledad Drive
Amistad Bldg., Room 4, 2nd Floor
Agana, GU, 96901
472-8781 (Overseas Operator)

HAWAII

Dr. Irwin Tanaka, Director
State Law Enforcement and Juvenile
Delinquency Planning Agency
1010 Richards Street
Kamamalu Building, Room 412
Honolulu, HI, 96800
(808) 548-3800

IDAHO

Dale Hyle, Acting Director
Bureau of Law Enforcement Planning
Commission
700 West State Street
Boise, ID, 83707
(208) 964-2364

ILLINOIS

James B. Zagel, Executive Director
Illinois Law Enforcement Commission
120 South Riverside Plaza, 10th Floor
Chicago, IL, 60606
(312) 454-1560

INDIANA

Frank A. Jessup, Executive Director
Indiana Criminal Justice Planning Agency
215 North Senate
Indianapolis, IN, 46202
(317) 633-4773

IOWA

Allen Robert Way, Executive Director
Iowa Crime Commission
3125 Douglas Avenue
Des Moines, IA, 50310
(515) 281-3241

KANSAS

Thomas E. Kelly, Executive Director
Governor's Committee on Criminal
Administration
503 Kansas Avenue, 2nd Floor
Topeka, KS, 66603
(913) 296-3066

KENTUCKY

Ronald J. McQueen, Administrator
Executive Office of Staff Services
Kentucky Department of Justice
209 St. Clair Street, 3rd Floor
Frankfort, KY, 40601
(502) 564-3253

LOUISIANA

Colonel Wingate M. White, Director
Louisiana Commission on Law Enforcement
and Administration of Criminal Justice
1885 Wooddale Boulevard, Room 615
Baton Rouge, LA, 70806
(504) 389-7515

MAINE

Ted T. Trott, Executive Director
Maine Criminal Justice Planning and
Assistance Agency
11 Parkwood Drive
Augusta, ME, 04330
(207) 289-3361

MARYLAND

Richard C. Wertz, Executive Director
Governor's Commission on Law
Enforcement and Administration of
Justice
Executive Plaza One, Suite 302
Cockeysville, MD, 21030
(301) 666-9610

MASSACHUSETTS

Robert J. Kane, Executive Director
Committee on Criminal Justice
110 Tremont Street, 4th Floor
Boston, MA, 02108
(617) 727-5497

MICHIGAN

Dr. Noel Bufo, Administrator
Office of Criminal Justice Programs
Lawis Cass Building, 2nd Floor
Lansing, MI, 48913
(517) 373-3992

MINNESOTA

Ms. Jacqueline Donoghue, Executive Director
Governor's Commission on Crime Prevention
and Control
444 Lafayette Road, 6th Floor
St. Paul, MN, 55101
(612) 296-3133

MISSISSIPPI

William R. Grissett, Executive Director
Miss. Criminal Justice Planning Division
Suite 400, 723 North President Street
Jackson, MS, 39202
(601) 354-4111

MISSOURI

Jay Sondi, Executive Director
Missouri Council on Criminal Justice
P.O. Box 1041
Jefferson City, MO, 65101
(314) 751-3432

MONTANA

Michail A. Lavin, Administrator
Board of Crime Control

1336 Helena Avenue
Helena, MT, 59601
(406) 499-3604

NEBRASKA

Harris R. Owens, Executive Director
Nebraska Commission on Law Enforcement
and Criminal Justice
State Capitol Building
Lincoln, NE, 68509
(402) 471-2194

NEVADA

James A. Barrett, Director
Commission on Crime, Delinquency, and
Corrections
430 Jeanell — Capitol Complex
Carson City, NV, 89710
(702) 885-4404

NEW HAMPSHIRE

Roger J. Crowley, Jr., Director
Governor's Commission on Crime and
Delinquency
169 Manchester Street
Concord, NH, 03301
(603) 271-3601

NEW JERSEY

John J. Mullaney, Executive Director
State Law Enforcement Planning Agency
3535 Quaker Bridge Road
Trenton, NJ, 08625
(609) 477-3741

NEW MEXICO

Dr. Charles E. Becknell, Executive Director
Governor's Council on Criminal Justice
Planning
425 Old Sante Fe Trail
Santa Fe, NM, 87501
(505) 827-5222

NEW YORK

Henry S. Dogin, Administrator
NYS Division of Criminal Justice Services
270 Broadway, Rm. 807
New York, NY, 10007
(212) 488-4868

NORTH CAROLINA

Gordon Smith, Acting Administrator
Law and Order Section
N.C. Department of Natural and Economic
Resources
P.O. Box 27687
Raleigh, NC, 27611
(919) 829-7974

NORTH DAKOTA

Oliver Thomas, Director
North Dakota Combined Law Enforcement
Council
Box B
Bismarck, ND, 58501
(701) 224-2594

OHIO

Dr. Bennett J. Cooper, Deputy Director
Ohio Dept. of Economic and Community
Development
Administration of Justice
30 East Broad Street, 26th Floor
Columbus, OH, 43215
(612) 466-7610

OKLAHOMA

Donald D. Bown, Executive Director
Oklahoma Crime Commission
3033 North Walnut
Oklahoma City, OK, 73105
(405) 521-2821

OREGON

Keith Stubblefield, Administrator
Law Enforcement Council
2001 Front Street, NE
Salem, OR, 97303
(503) 378-4347

PENNSYLVANIA

Thomas J. Brennan, Executive Director
Governor's Justice Commission
Department of Justice
P.O. Box 1167
Federal Square Station
Harrisburg, PA, 17108
(717) 787-2042

PUERTO RICO

Adrian Medina, Acting Executive Director
Puerto Rico Crime Commission
G.P.O. Box 1256
Hato Rey, PR, 00936
(809) 783-0398

RHODE ISLAND

Patrick J. Fingliss, Executive Director
Governor's Justice Commission
197 Taunton Avenue
E. Providence, RI, 02914
(401) 277-2620

SOUTH CAROLINA

Lee M. Thomas, Executive Director
Office of Criminal Justice Programs

Edgar A. Brown State Office Building
1205 Pendleton Street
Columbia, SC, 29201
(803) 758-3573

SOUTH DAKOTA

Randolph J. Seiler, Director
Division of Law Enforcement Assistance
200 West Pleasant Drive
Pierre, SD, 57501
(605) 224-3665

TENNESSEE

Harry D. Mansfield, Executive Director
Tennessee Law Enforcement Planning
Agency
4950 Linbar Drive
The Browing-Scott Building
Nashville, TN, 37211
(615) 741-3521

TEXAS

Robert C. Flowers, Executive Director
Criminal Justice Division
Office of the Governor
411 West 13th Street
Austin, TX, 78701
(512) 475-4444

**TRUST TERRITORIES OF THE
PACIFIC ISLANDS**

Gerald Craddock, Acting Administrator
Office of the High Commissioner
Saipan, Mariana Islands, 96950

UTAH

Robert B. Andersen, Director
Utah Council on Criminal Justice
Administration
255 South 3rd Street — East
Salt Lake City, UT, 84111
(801) 533-5731

VERMONT

Forrest Forsythe, Executive Director
Governor's Commission on the
Administration of Justice
149 State Street
Montpelier, VT, 05602
(802) 828-2351

VIRGINIA

Richard N. Harris, Director
Division of Justice and Crime Prevention
8501 Mayland Drive
Parham Park
Richmond, VA, 23229
(804) 786-7421

VIRGIN ISLANDS

Troy Chapman, Administrator
Virgin Islands Law Enforcement Planning
Commission
Box 280 — Charlotte Amalie
St. Thomas, VI, 00801
(809) 774-6400

WASHINGTON

Saul Arrington, Administrator
Law and Justice Planning Office
Office of Community Development
Insurance Building, Room 107
Olympia, WA, 98504
(206) 753-2235

WEST VIRGINIA

Gerald S. White, Executive Director
Governor's Committee on Crime,
Delinquency, and Corrections

Morris Square, Suite 321
1212 Lewis Street
Charleston, WV, 25301
(304) 348-8814

WISCONSIN

Charles M. Hill, Sr., Executive Director
Wis. Council on Criminal Justice
122 West Washington
Madison, WI, 53702
(602) 266-3323

WYOMING

William Penn, Administrator
Governor's Planning Committee on Criminal
Administration
State Office Building East
Cheyenne, WY, 82002
(307) 777-7716

National Clearinghouse for Criminal Justice Planning and Architecture

Created in 1971, the Clearinghouse is funded under contract to the Law Enforcement Assistance Administration and is part of the Department of Architecture at the University of Illinois. Offering a broad variety of technical assistance services to criminal justice units of state and local government, planners, architects, and others in a concerted effort to improve the performance of the criminal justice system, the Clearinghouse has a multidisciplinary staff of architects, former police and corrections personnel, social scientists, planners, and lawyers.

Technical assistance by the Clearinghouse is not limited to architectural matters but features total systems planning in recognition that problems identified in one component of the criminal justice system impinge on or are impacted by other components.

All technical assistance requests are coordinated by the appropriate state planning agencies; for further instructions on how to apply for these services, contact the Clearinghouse.

The Clearinghouse is divided into a number of units:

- The **Correction Unit** must review program planning and design materials for all corrections projects that seek construction funds from LEAA. It also provides technical assistance and review for projects not seeking construction funds from LEAA.

Project review criteria are detailed in the Clearinghouse's *Guidelines for the Planning and Design of Regional and Community Correctional Centers for Adults*.

- The **Law Enforcement Unit** parallels the services of the Correction Unit by providing technical assistance to law enforcement agencies. These guidelines are detailed in *Guidelines for the Planning and Design of Police Programs and Facilities*.
- The **Court Unit** provides technical assistance to court projects across the nation and has applied a computer program utilizing simulation technology to the examination of the complex networks and flow processes of a modern court system. *The Guidelines for the Planning and Design of State Court Programs and Facilities* is a comprehensive reference document covering courts, prosecution, and defender planning, courts of juvenile jurisdiction, and court system computer applications.
- The **Juvenile Unit** is currently working on the development of juvenile *Guidelines* which will focus on the development of programs or facilities at the local level and contain:
 - survey instruments and techniques for assessing community needs in juvenile justice and delinquency prevention;
 - a structural means for the community to classify its juvenile problems;

- a series of options available to the community for meeting the needs of youth in each category, emphasizing nonsecure and nonresidential alternatives for most youth; and
 - a brief description of the alternative program approaches available to planners.
- The **Master Planning Unit** has developed survey instruments, data analysis methodologies, and program linkage techniques for use in comprehensive criminal justice planning efforts. The Clearinghouse provides comprehensive planning assistance on a contractual basis to state and local government agencies. Since planning recommendations are based on a survey of needs, they reflect the particular characteristics of each locale.
 - The **Publications Office** disseminates all materials produced by the Clearinghouse, including the *Guidelines*, reports on state and local criminal justice planning efforts, and a variety of shorter publications focusing on individual criminal justice planning issues and problems (e.g., "To Build or Not to Build, Is That the Question?" and *A Practical Manual for County Officials on the Treatment of Alcoholics*). The *NCCJPA Report*, published quarterly, reports on current clearinghouse efforts. The *Clearinghouse Transfer* is a series of publications concentrating on individual innovative programs and/or facilities in police, courts, or corrections.

A complete publication listing, brochures of the Clearinghouse's activities, and brochures on the *Guidelines* are available from:

Department of Architecture
University of Illinois
505 East Green Suite 200
Champaign, IL, 61820
(217) 333-6312

Management Support and Public Relations/Communications Resources

Management Support¹

There are an increasing number of management support organizations which provide assistance to nonprofit organizations and community groups across the country with some or all of their management-related problems. Check the "scope" headings in the following list to determine if there is such an organization serving your geographic area. The listing is not a complete one; if after consulting the list you cannot find an appropriate management support organization to help you, complete the blank form which follows the listing and send it to the Support Center at the addresses listed on the form. They will then be able to advise you on whether they or some other management support organization can assist your group.

1. Accounting Aid Society of
Metropolitan Detroit
c/o New Detroit, Inc.
10 Peterboro
Detroit, MI, 48201
(313) 831-0420

Accounting Aid Society of
Western Michigan
8055 Lamplight Dr.
Jenison, MI, 49428
(616) 451-1076

Services: Accounting and related services, such as budget analysis and preparation of internal accounting systems.

Scope: Community groups in the metropolitan Detroit area and the Grand Rapids and Kalamazoo metropolitan area.

Fee: No charge.

2. Accountants for the Public
Interest
(Check the yellow pages
to see if there is an
operation in your area.)

Services: Consults with community and consumer groups on public issue matters having financial or accounting implications, e.g., cost effectiveness studies, etc. Does not provide traditional accounting, bookkeeping, or tax services.

Scope: Operates in several major cities.

3. Community Accountants
c/o John Paul Dalsimer
1915 Arch St.
Philadelphia, PA, 19103
(215) 568-2270

Services: Provides help in accounting, and system design and installation, and gives financial advice.

Scope: 501 (c)(3) and 501 (c)(4) organizations in the Philadelphia metropolitan area which cannot afford to buy services.

4. Independent Community Consultants, Inc.
P.O. Box 141
Hampton, AR, 71744
(501) 798-4510

Services: Full range of consultation services, including planning and tax assistance.

Scope: Primarily serves rural, southern, and minority grass roots community organizations involved in social change or community development. Will work in any geographic area.

Fee: Charges are on a sliding scale of ability to pay.

5. Interaction
Agency Assistance Division
1370 Stewart St.
Seattle, WA, 98109
(206) 624-3272

Services: Assists with organizational structuring, including obtaining legal status; management systems including budgeting, accounting, and financial management; promotional planning, e.g., proposal and brochure writing, publicity, and community relations; and fund raising.

Scope: 501 (c)(3) organizations in Washington State referred by the Medina Foundation.

Fee: No charge.

6. Minnesota Accounting Aid Society, Inc.
370 Hennepin Square
2021 East Hennepin Ave.
Minneapolis, MN, 55413
(612) 378-1021

Services: Instruction and assistance in setting up accounting systems, preparing income tax returns, financial statements, and other reports.

Scope: Any small nonprofit organizations in the Minneapolis-St. Paul area that cannot afford to buy services.

Fee: No charge.

7. Planning and Management Assistance Project
1705 De Sales St., N.W.
Washington, D.C., 20036
(202) 659-1963

Services: Provides assistance in planning, budgeting, accounting, goal-setting, problem analysis, and related management activities.

Scope: Any nonprofit organization in the Washington, D.C., metropolitan area.

Fee: \$50-\$200 per day, based on ability to pay; limited number of organizations are not charged.

8. Professional Skills Alliance
2551 John R.
Detroit, MI, 48201
(313) 961-6350

Services: Assists with accounting procedures and in applying for IRS tax-exempt status.

Scope: Community organizations.

Fee: No charge.

9. The Community Management Center
1424 16th St., N.W.
Suite 201
Washington, D.C., 20036
(202) 265-2443

Services: Offers a full range of management support services including financial management, office management, management planning, personnel systems, communications, etc.

Scope: Nonprofit community groups in the Washington, D.C. area.

Fee: Charges are based on a sliding scale of group's financial resources.

10. The Support Center
1424 16th St., N.W.
Suite 201
Washington, D.C., 20036
(202) 265-2443
or
The Support Center
203 Columbus Ave.
San Francisco, CA, 94133
(415) 982-4500

Services: Offers a full range of management support services including financial management, office management, financial development, management planning, personnel, communications, etc.

Scope: The Washington, D.C. office serves nonprofit groups in the eastern half of the U.S., and the San Francisco office serves groups in the western part of the U.S.

Fee: Based on highest salary paid by an organization and/or the resources available to the organization.

11. Volunteer Urban Consulting Group, Inc.
420 Lexington Ave.
New York, NY, 10017
(212) 889-4505

Services: Budgeting, planning, and accounting assistance.

Scope: Certain health and social service organizations in the New York City area.

Fee: No charge.

12. W. Clement and Jessie V. Stone Foundation
111 E. Wacker Dr.
Suite 510
Chicago, IL, 60601
(312) 565-1100

Services: Financial management services.

Scope: Selected nonprofit organizations.

Fee: No charge.

How to Get Help if You Get Stuck Along the Way

The Support Center or the Community Management Center can help you if they know something about your organization. With the following information, they will be able to tell whether they or some other management support organization can assist you.

When you have completed this form, mail it and the other requested information to the Support Center or the Community Management Center, 1424 16th St., N.W., Suite 201, Washington, D.C., 20036; or, if you are located in the western part of the country, send it to the Support Center, 203 Columbus Ave., San Francisco, CA., 94133.

Name of Organization _____

Address _____

Contact Person _____ Phone _____

What is the statement of purpose of your organization? _____

What is your tax status? (Check one.)

_____ unincorporated, no tax status

_____ 501 (c)(4)

_____ incorporated, no tax status

_____ 501 (c)(4), application pending

_____ 501 (c)(3)

_____ Other

_____ 501 (c)(3), application pending

What type of help do you need?

_____ Accounting/Bookkeeping

_____ Other (Please describe with accompanying material.)

_____ Financial Development

_____ Budgeting

_____ Planning

_____ Tax Exemption Application

_____ Other Tax Work

If you have them, please enclose:

1. Your most recent brochure and/or prospectus; if you have no prepared materials, please enclose a brief description of the work and organization of your group.
2. Your most recent financial statements (your balance sheet and statement of income and disbursements).
3. Your budget, including any special program budgets.
4. A listing of your sources of revenue and a brief description of your fund-raising activities over the past three years.
5. Specific program plans and objectives and a recent report on program progress.

Public Relations and Communications²

Organization

1. American Advertising Federation
1225 Connecticut Ave., N.W.
Washington, D.C., 20036
2. Cable Television Information Center
2100 M. St., N.W.
Washington, D.C., 20037
ATTN: Information Group
3. Citizens Communication Center
1914 Sunderland Place, N.W.
Washington, D.C., 20036
4. Interaction
Agency Assistance Division
1370 Stewart St.
Seattle, WA, 98109
5. National Association of Broadcasters
1771 N. St., N.W.
Washington, D.C., 20036
6. National Cable Television Association, Inc.
918 Sixteenth St., N.W.
Washington, D.C., 20036
7. National Public Relations Council of
Health and Welfare Services, Inc.
Seymour Stark
815 Second Avenue
New York, NY, 10017
8. Office of Public Affairs
Joe Dine, Director of Public Information
Corporation for Public Broadcasting
888 Sixteenth St., N.W.
Washington, D.C., 20006
9. Public Relations Society of America
(Has chapters in most major cities;
consult the yellow pages.)
10. Task Force on Voluntary Action
Public Relations Society of America
845 Third Ave.
New York City, NY, 10022

Services

Assistance in organizing local volunteer recruiting drives, provides information on public service activities of 200 affiliated local advertising clubs.

Provides technical, economic, and public service information to public officials; conducts studies of uses of cable television in various fields, (e.g., adult education, health, etc.), provides pamphlets, films, books, and other publication services to public officials and to the public.

Provides information and technical aid to citizens and community groups on their rights in the decision-making process and accessibility to the broadcast media.

Promotional planning (publicity, brochure writing, graphics) and fund raising.

Answers questions about air time on commercial radio and television stations.

Information on public service tie-in possibilities with local cable television systems that do local programming.

Provides consultation on public relations problems, publications; sponsors institutes in the areas of public relations and communications.

Information about Public Broadcasting Service and TV network and national public radio.

Individual members may help to identify public relations needs, design a publicity program, and make or suggest media contacts.

Provides information about volunteer assistance in the field of public relations.

Newsletters and Periodicals

Newsletters, periodicals, and other serial publications are important tools for keeping abreast of new developments in volunteerism and in criminal justice. The following publications provide all types of useful information (e.g., advance notice of meetings and training programs, descriptions of innovative programs and practices, information on legislative activities, etc.). Some are available by writing the organizations that publish them; others are available as a service to members of the sponsoring organizations, and many of them may be found in local libraries.

Action Broadcaster. Quarterly newsletter. No charge. This publication features information of interest to volunteer administrators in a wide variety of fields including criminal justice. Advance notice of training programs is included. Available from:

Action Broadcaster
326 Locust Street, Suite 213
Akron, OH, 44302

Clearinghouse Transfer. A monthly publication directed toward criminal justice programs and architectural specialists describing in each issue an innovative practice in a police, courts, or corrections project. Available free from:

Publications Coordinator
National Clearinghouse for
Criminal Justice Planning
and Architecture
505 E. Green St., Suite 200
Champaign, IL, 61820

Community Crime Prevention Letter. Published monthly. \$42 per year. Oriented specifically to crime prevention programming, this newsletter functions as an information exchange and includes announcements, news releases, and reports about programs from across the United States. Available from:

Community Crime Prevention Letter
123 East 5 Street
Plainfield, NJ, 07060

Corrections Magazine. Published quarterly. \$18 per year or \$5 per issue. This publication is devoted to in-depth coverage of correctional operations in the U.S. and abroad. All articles are based on original, on-site reporting and

generally are of two types: extensive profiles of state correctional systems or detailed closeups of innovative programs. Available from:

Corrections Magazine
801 Second Avenue
New York, NY, 10017

Crime and Delinquency. Published quarterly. \$15 including NCCD annual membership fee of \$4 per single copy. This publication serves as a professional forum for the expression and discussion of all competent views of the administration of criminal justice. Available from:

National Council on Crime and Delinquency
411 Hackensack Avenue
Hackensack, NJ, 07601

Criminal Justice. Quarterly newsletter. \$7 per year. Available from:

American Bar Association
Section of Criminal Justice
1800 M St., N.W., 2nd Floor
Washington, D.C., 20036

Criminal Justice Abstracts. Published quarterly. \$40 per year. Worldwide in scope, it contains in-depth abstracts of literature on criminal justice and related social issues, plus a review of the literature in each issue on a specific subject in criminal justice, e.g., criminal statistics, aid to the victim. Available from:

National Council on Crime and
Delinquency
411 Hackensack Avenue
Hackensack, NJ, 07601

Criminal Justice Newsletter. Published biweekly. \$55 per year. It provides an authoritative report on significant developments in criminal justice policy and administration. Available from NCCD at above address.

Federal Probation. Published quarterly. This journal covers all phases of preventive and correctional activities in delinquency and crime. It includes original articles on criminal justice issues and operational innovations, sections on law, reviews of books and articles from other publications, and current events. In addition to many public libraries, it is available from:

Federal Probation
Probation Division of the Administrative
Office of the United States Courts
Supreme Court Building
Washington, D.C. 20544

GADFLY. This monthly newsletter from the Victim Assistance Program features articles related to criminal justice. Available from:

Furnace Street Mission, Inc.
Box 444
Akron, OH, 44309

Joint Enterprise. Bimonthly newsletter. \$4 per year or as part of membership fee. A clearinghouse for news and developments in the administration of justice. Available from:

American Judicature Society
200 W. Monroe, Suite 1606
Chicago, IL, 60606

Journal of Research in Crime and Delinquency. Biannual publication. \$10 per year. This journal features papers and analyses of theories and concepts in current criminal justice research. Available from:

National Council on Crime and Delinquency
411 Hackensack Avenue
Hackensack, NJ, 07601

JUDICATURE. Published 10 times per year. \$10 per year or \$1 per issue or as part of membership fee. This magazine is a clearinghouse of fact and opinion on all aspects of the administration of justice and its improvement. Available from:

American Judicature Society
200 W. Monroe, Suite 1606
Chicago, IL, 50505

Juvenile Court Digest. \$18 per year, \$2 per issue, or as part of membership fee. This publication is a digest of juvenile court cases on a national basis. Available from:

National Council of Juvenile Court Judges
Box 8978
University Station
Reno, NV, 89507

Juvenile Court Newsletter. Bimonthly publication. Available only as part of membership fee. This newsletter relates news of the

National Council of Juvenile Court Judges organization and items on the juvenile justice system of national interest. Available at above address.

Juvenile Justice. Published quarterly. \$12 per year, \$3 per issue, or as part of membership fee. This newsletter features articles on the juvenile justice system, law, diversion, corrections, rehabilitation, etc. Available from National Council of Juvenile Court Judges at above address.

LEAA Newsletter. Published 10 times per year. No charge. The official publication of the Law Enforcement Assistance Administration, this newsletter relates information on all aspects of LEAA activities. Included is information on such topics as current research, recent grants, publications, criminal justice news, etc. Available from:

U.S. Department of Justice
Law Enforcement Assistance
Administration
633 Indiana Avenue, N.W.
Washington, D.C., 20531

National Criminal Justice Reference Service. This division of the Law Enforcement Assistance Administration distributes listings and descriptions of recent publications and research studies in criminal justice and provides brochures of exemplary projects. Some of the publications are available free-of-charge from:

NCJRS
Box 24036
South West Post Office
Washington, D.C., 20024

NCPI Hotline. Published monthly. No charge. Each issue of this publication focuses on a specific crime prevention program either planned or currently in operation. Available from:

National Crime Prevention Institute
School of Police Administration
Shelby Campus
University of Louisville
Louisville, KY, 40222

New Human Services Review. Published bimonthly. \$9 per year for individuals, \$15 per year for institutions. This publication provides current information about developments across

the entire range of human services, including news about new program developments, training, evaluation, legislation, and policy developments. Available from:

Behavioral Publications
72 Fifth Avenue
New York, NY, 10011

Pretrial Justice Quarterly. Published quarterly. \$5 per year. This newsletter, focusing on problems, issues, and innovative practices across the country in the pretrial period, includes articles on such topics as bail, community dispute settlement, victims, jails, and law. Available from:

Pennsylvania Pretrial Justice Program
American Friends Service Committee
1300 Fifth Avenue
Pittsburg, PA, 15219

Register Citizen Opinion. Published annually. 25 cents. This publication is a guide to political action, including a congressional directory. Available from:

Service Department
Board of Church and Society
100 Maryland Avenue, N.E.
Washington, D.C., 20002

Response. Published bimonthly. No charge. A project of the Center for Women Policy Studies, this newsletter focuses on all aspects of intrafamily violence and sexual assault. Current issues and programs are discussed; an activities calendar is provided; publications and films are reviewed; and, funding sources are explored. Available from:

Center for Women Policy Studies
2000 P Street, NW, Suite 508
Washington, D.C., 20036

Target. Published monthly. No charge. This newsletter has as its primary function the dissemination of information on successful, innovative criminal justice projects. Available from:

International City Management
Association

1140 Connecticut Avenue N.W.
Washington, D.C., 20036

VIP Examiner. Quarterly newspaper. \$3 per year. This publication produced by the Volunteers in Probation Division of the National Council on Crime and Delinquency is addressed to crime, criminal justice, and concerned citizens. It is distributed to approximately 50,000 volunteers and professionals who work with volunteers in criminal justice. Available from:

Mr. Phil Groto
N.C.J.V.R.S.
The University of Alabama
Box 1935
University, AL, 35486

Voluntary Action Leadership. Published quarterly. \$8 per year or \$2 per issue. Each issue includes articles on research in the volunteer field, resource listings, legislation, program profiles, news, and practical how-to guides on such topics as training volunteers, recruitment, communication skills, fund raising, etc. Available from:

National Center for Voluntary Action
1214 16th Street, N.W.
Washington, D.C., 20036

Washington Newsletter. Published monthly, occasionally bimonthly. \$5 per year or 50 cents per copy. This newsletter focuses on legislation affecting criminal justice, juvenile justice, and related issues. Available from:

National Council of Jewish Women
15 East 26th Street
New York, NY, 10010

Youth Alternatives. Published monthly. \$20 per year. This national newsletter focusing on issues and activities affecting youth and youth workers includes information on funding, policy developments, resources, conferences, jobs, etc. Available from:

National Youth Alternatives Project
1346 Connecticut Avenue, N.W.
Washington, D.C., 20036

NOTES

1. This listing was adapted with special permission from: Thomas F. Miller and G. R. Orser. *You Don't Know What You Got Until You Lose It* (Washington, D.C.: The Support Center/The Community Management Center, 1975).
2. Adapted in part from: National Center for Voluntary Action, *Clearinghouse Green Sheet on Public Relations* (Washington, D.C.: NCVA).

IMPACT was a four-year program of the Association of Junior Leagues, Inc., funded by the Law Enforcement Assistance Administration, designed to enable local Leagues to reduce crime and delinquency through promoting, facilitating and participating in efforts to effect positive changes in the criminal justice system.

Since the program's inception, approximately 190 separate involvements have been undertaken by more than 3,000 volunteers. Leagues have spent over \$1.5 million of their own funds and raised approximately \$7.5 million in outside monies for projects designed to be taken over by the communities in which they are located. League members have worked as one-on-one client volunteers, and as planners, researchers, administrators, fund-raisers, advocates, catalysts, and coalition-builders. Their efforts have been in prevention, diversion, law enforcement, the courts and corrections.

Skills for Impact: Voluntary Action in Criminal Justice has been written to incorporate the lessons of their experiences and make them available to other voluntary organizations who desire to answer the challenge laid down by the President's Commission on Law Enforcement and the Administration of Justice in 1965:

Every American can translate his concern about, or fear of, crime, into positive action. Every American should.

There are no panaceas to effective citizen participation in a complex field like criminal justice and *Skills for Impact* does not pretend that it will be a quick, easy, or altogether pleasant involvement. Rather, it provides practical guidance on how projects should be selected, implemented, funded, administered, evaluated, and communicated.

1. The first step in the process is to identify the problem or issue that needs to be addressed. This involves gathering information and understanding the context of the problem.

2. Once the problem is identified, the next step is to define the objectives and goals of the project. This helps to clarify what needs to be achieved and provides a clear direction for the team.

3. The third step is to develop a plan or strategy to address the problem. This involves breaking down the problem into smaller, manageable tasks and determining the resources needed to complete each task.

4. The fourth step is to implement the plan. This involves putting the strategy into action and monitoring progress regularly to ensure that the project is on track.

5. The final step is to evaluate the results of the project. This involves assessing the outcomes against the objectives and goals and identifying any areas for improvement or further action.

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END