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A MODEL FOR POLICY ANALYSIS TRAINING

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AND THE CALIFORNIA OFFICE OF CRIMINAL JUSTICE PLANNING

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ACQUISITIONS

A MODEL FOR POLICY ANALYSIS TRAINING

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AMERICAN JUSTICE INSTITUTE

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PROJECT SYNOPSIS

The Training in Economics and Policy Analysis project commenced in January, 1977, extended over fourteen months, and was organized around two basic assumptions: (1) many corrections agencies possess the resources necessary to conduct policy analysis, but the potential has not been exploited; (2) correctional executives feel a need to be proactive (rather than reactive) to issues facing them.

The overall program goal was to develop a policy analysis capability in corrections agencies, supported by long-run goals:

1. To increase the frequency of interaction between managers and analysts in the policy analysis process;
2. To increase the use of policy analytic studies in correctional agency decision-making;
3. To increase the amount of resources allocated to policy analysis by corrections agencies.

The short-run goals, attainable within the project period were:

- create a laboratory (workshop) setting to approximate the actual policy analysis process
- clarify organizational roles for managers and analysts in policy analysis
- refine the concept of research management
- provide exposure to relevant disciplines of policy analysis
- involve participants not part of residential workshops in their agency's policy analysis effort
- assist agencies in completing a policy analysis project

To accomplish these goals, the project was divided into three phases:

Residential Training--Three regional workshops, each involving approximately twenty managers and analysts, trained participants in issue definition, economic analysis skills and research planning. Emphasis was placed on interaction between agencies as well as between managers and analysts. Each agency departed with a researchable issue to which they would apply policy analysis during the subsequent months.

On-Site Technical Assistance and Training--Participating agencies were visited by project staff who provided general guidance and more specific assistance where necessary. Mini-workshops in policy analysis were conducted for other agency personnel in order to involve as many agency staff as possible in the process.

Advanced Seminar--Project participants came to a single, week-long workshop devoted to evaluating research products and implementation planning. Completed policy studies were evaluated according to technical correctness and political opposition. A set of strategies were developed for implementing recommendations.

Thirty-one corrections agencies were represented during this project; 64 persons were trained at the regional workshops; 45 at the advanced seminar. An additional 350 persons were trained during the technical assistance phase. The project produced two major documents--A Model for Policy Analysis Training and Readings in Policy Analysis.

ACKNOWLEDGEMENTS

This project was made possible, in every way, by the participation and cooperation of managers and analysts from thirty-one correctional agencies. To say the project and the products developed therein would have been impossible without their help is particularly an understatement in this case. In addition to attending arduous, week-long workshops, participants kept detailed time records for the \$ 136,000.00 of in-kind match, coordinated on-site visits and generally devoted a sizeable proportion of their resources to policy analysis. Their written evaluations and otherwise candid and cooperative attitudes made it possible to revise, eliminate and add training materials as well as refine the training process itself. Interpersonally, they were also outstanding and made the overall experience highly enjoyable, informative and productive.

Special thanks go to Sally F. Familton, a long time associate of the Correctional Economics Center. Invaluable throughout the project, she developed much of the regional workshop training materials, working extensively on issue paper content and format, case studies, and the policy analysis process. Her aptitude as trainer proved itself at all the workshops.

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Alexandria, Virginia
March 1978

INTRODUCTION

The Need for Policy Analysis

Policy analysis is the systematic, explicit examination of alternative ways to accomplish public agency objectives. It is designed to inform managers' decisions by identifying possible courses of action, gathering objective evidence, and estimating the relative effectiveness of alternatives. As such it is as much an approach to problem solving as it is a discrete set of activities. Because of its attributes it holds promise as a means for resolving many of the issues which confront corrections administrators.

The far-reaching changes in corrections over the last five years have challenged many of the assumptions which have heretofore guided administrators in the field. Judicial decisions have forced revision of long established administrative procedures; legislators and elected executives have demanded greater accountability for performance through changes in budget procedures, program evaluation requirements, and productivity standards; and, the debate over the relative effectiveness of corrections programs among administrators, elected officials, and outside observers has undermined attempts to develop coherent policies. These events have placed corrections administrators in a difficult position. On the one hand they are asked to justify the agency's activities and programs in clear, carefully documented terms. At the same time, they must make decisions on future courses of action for which there is no precedent in their personal experience.

Policy analysis is one means by which administrators may resolve this dilemma. Although no single approach to problem solving can guarantee success, the nature of policy analysis is well suited to addressing the issues which confront administrators since it is oriented around a decision which must be made; is concerned with anticipating future effects rather than monitoring past events; assumes stringent deadlines for producing information; and is eclectic in its analytical approach. Its use should result in better informed policy choices.

Many of the changes which have occurred in recent years make this an opportune time to introduce policy analysis into corrections agencies. Increasingly these agencies have attracted individuals from a wide variety of educational backgrounds who are sympathetic to systematic analysis of problems, instead of relying totally upon experience as a basis for decisions. In addition, the growth of sophisticated information systems in corrections and other criminal justice agencies provides the empirical foundation for on-going policy analysis within the agency if only it is tapped effectively.

The training described in this manual is designed to introduce corrections' administrators to the principles of policy analysis. It assumes that the participants will include both those who will use the products of such efforts--the managers--as well as those who actually conduct the research--analysts. If policy analysis is to become an integral part of an agency's operations, decision makers must understand and be comfortable with the process. It is not enough to increase the analytical sophistication of those who gather the evidence and perform the analysis. They must be able to define the problem in a way which is relevant to the choices which must be made, and communicate the results to those who must make the decisions. This requires that managers as well as analysts be involved in the process.

The manual has been divided into two parts. Part I provides an overview of the policy analysis process and the training program. It begins with an introduction to the process involved in policy analysis and a brief description of its components. This is followed by a discussion of the principles underlying the design of the workshop. Part II contains the materials for the workshop itself. It is organized around a series of themes to facilitate its adaptation to a variety of purposes and circumstances as no two training circumstances are likely to be exactly alike. In each case, however, it is assumed that the participants consist of two-person teams from an agency made up of someone with primarily managerial responsibilities and an individual who is an analyst.

PART I

OVERVIEW OF POLICY ANALYSIS

Policy Analysis Defined

Policy analysis is the process by which public issues may be clarified, alternative courses of action identified and their future effects estimated. It is the application of objective information to public choices. Like program monitoring, information systems design, and performance measurement it places heavy emphasis upon developing objective indices of agency activities wherever possible. It shares with planning an orientation toward future events rather than a description of the past. Although economics and statistics are an essential part of its intellectual tradition, it also draws heavily on other disciplines for its analytical framework-- political science, social psychology, public administration, sociology and industrial engineering, to name a few. It is, perhaps, better described as an approach to policy making than as a discrete set of activities; an approach which focuses on integrating the political subjectivity which accompanies public choices with the benefits of more reliable information which comes from objective analysis.

The systematic explicit nature of policy analysis is sometimes antithetical to the political context within which public sector decisions are made. The public administrator's need to build coalitions and gain consensus may require ambiguous objectives, tentative results or appeals to personal values; whereas, the scientific method underlying analysis must begin by identifying measurable results, anticipating consequences and remaining objective. Because it operates at the point where these two approaches meet, policy analysis has certain elements that distinguish it from related analytical efforts such as monitoring, impact evaluation and process evaluation.

Policy analysis arises out of a manager's need to make a decision regarding some issue confronting the organization; therefore, the analysis focuses on some action, rather than solely on the acquisition of knowledge. By assuming that there are choices (or alternative ways of reaching objectives), the content of a policy study is concerned with future courses of action and not the monitoring of past decisions or performance. (However, a key step in the process is deriving mutually agreed to performance criteria against which feasible alternatives will be measured.) The problem-orientation of policy analysis, also, places a more stringent time constraint on producing recommendations than typically found in traditional impact

or process evaluations. Consequently, greater reliance is placed on secondary data sources and (sometimes) qualitative information. The fourth distinguishing characteristic results from the public sector environment in which such analyses are conducted. Public decisions are seldom unilateral and may impact on other decision makers, a variety of clientele, agencies, interest groups, laws and regulations. This complexity usually requires drawing on different theories and methods from law, economics, political science, management, sociology, etc.

The critical juncture in the policy analysis process is the link between the means for acquiring objective information, on the one hand, and the choices which must be made by policy makers on the other. Yehezkel Dror has described the problem as follows. "The major problem at which policy science is directed is how to improve the design and operations of policymaking systems. A major component of this problem is how to increase the role of policy-issue knowledge in policy making on concrete issues."^{1/} Policy analysis assumes that decision-making and analytical efforts must be part of the same process rather than discrete activities.

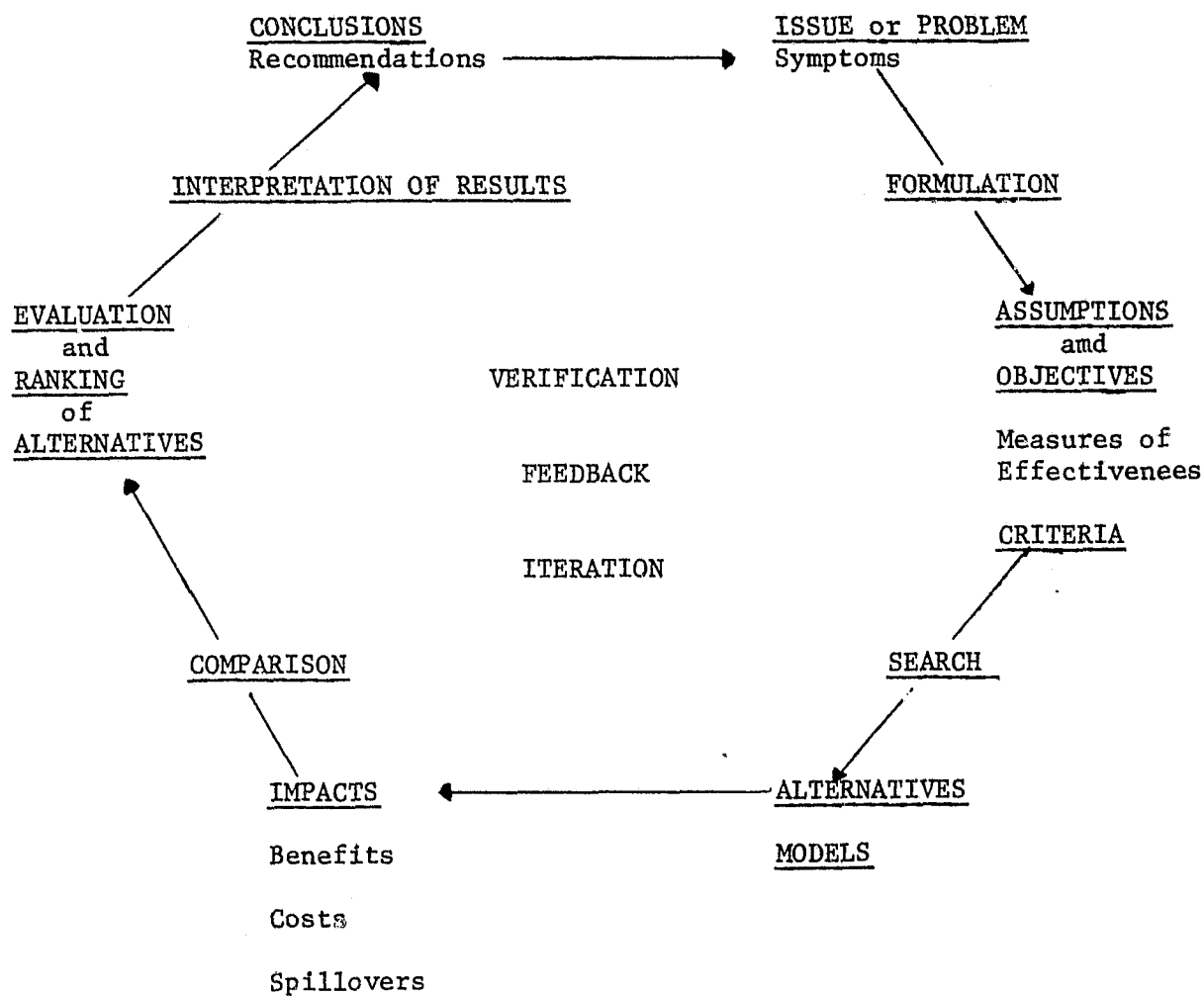
To accomplish this objective two perspectives must be represented in the process. One perspective is represented by the decision maker, who brings to the process a sensitivity to the political, administrative, and operational implications of a problem which must be recognized if the analytical outcome is to be relevant to the decisions which must be made. Public policy is a product of competing values and interests as well as an understanding of "what works." An analytical effort can clarify what choices are available and, given a set of objectives, identify the likely effect of different courses of action. But, in order to be useful, it must focus on those alternatives which are compatible with the political and administrative context within which the decision must be made.

The second perspective is represented by the analyst. He brings to the process an awareness of the criteria for defining an issue in terms which are amenable to analysis, and the technical skills necessary to marshal the evidence around alternative courses of action. Perhaps most important, the analyst brings to the process an understanding of the limits of policy analysis. Not all problems are appropriate for analysis. In many instances the issue is one of competing values rather than the appropriate means for reaching a set of objectives; the solution, therefore, lies in the political or administrative arena rather than through the analytical process. In other instances the knowledge base is so limited that an analytical effort will add very little to the lessons learned from experience.

Policy Analysis Process

The policy analysis process involves a series of steps. It begins with an issue or problem facing the decision maker. The origins of the issue may include a crisis facing the agency, a personal concern of a manager or analyst, a demand for action from outside the agency, or any combination of these. This initial problem must be clarified and redefined so that it is amenable to analysis through discussions between the decision maker and the analyst. The definition process depends on the recognition of different areas of concern represented by managers and analysts. These areas include the audience or actors to whom the issue is important; the relevant goals and objectives of the agency (which ostensibly are maximized through the policy analysis effort); the methodologies which can be used to effectively research the issue; and, an initial statement of potential study outcomes, or alternatives. It is at this point, before the study process is underway, that manager and analyst jointly agree on whether the issue is amenable to analysis and whether objective information will be of use in the decision-making process. The research endeavor follows issues thus defined and may range in sophistication from a search of secondary sources to mathematical model building. Regardless of the analytical scheme employed, the outcome is an identification of a range of alternative courses of action for resolving the problem and an evaluation of the effectiveness of each one. The process has been portrayed in more detail by E. S. Quade and is reproduced here in Figure I.

FIGURE I
POLICY ANALYSIS PROCESS



Allen Schick writes: "In application, economics and statistics are the main tools of policy analysis. The former brings a uniform system of valuation to public policy; the latter offers a metadisciplinary language. Yet neither can serve as the integrating orientation for policy analysis."^{2/} The reason for this lack of methodological focus lies in the nature of policy analysis. The technical skills take on meaning only when combined with an understanding of the implications of the policy decision which must be made. It is the decision which gives purpose to the research, not the reverse.

Policy Analysis Workshops

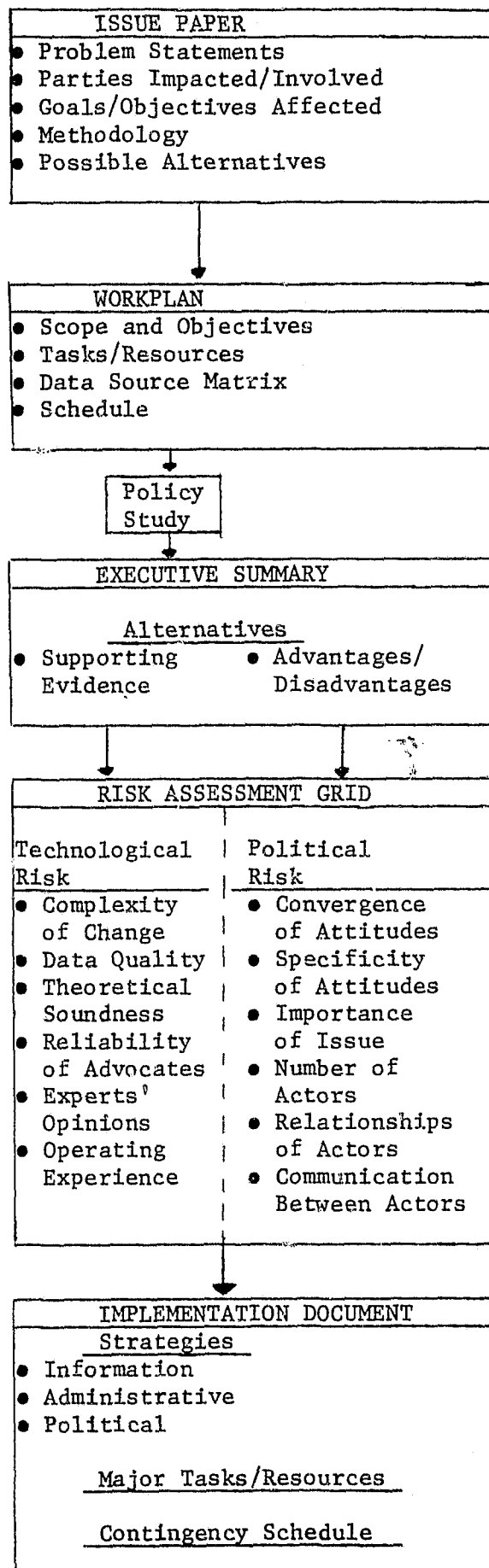
The workshop outline contained in this manual conforms to the general characterization of policy analysis described here. Emphasis is placed on understanding the requirements for an analytical effort and defining an issue in terms which are both useful to the decision maker and subject to solution through an analytical effort.

Training Manual Summary

Most of the materials were developed specifically for the workshops. The most important of these are the major documents which were created to reflect the primary components of the policy analysis process. Their significance lies in the fact that they are designed not only to facilitate workshop activities, but also to serve as guides in carrying out policy analysis projects on a regular basis within an agency. An outline of these documents is contained in Figure II.

FIGURE II

MAJOR DOCUMENTS OF THE POLICY ANALYSIS PROCESS



They begin with the Issue Paper, perhaps the most important of the documents listed. The Issue Paper is used to provide an initial definition of the problem to be investigated and is developed jointly by the manager and analyst. To complete the document they must begin addressing such critical questions as the importance of the problem for the agency and for critical actors outside the agency; the goals and objectives which will be affected by any course of action adopted; the research methodology which will be necessary to complete the project; and, finally, what are the likely outcomes of the project. It can be used as an initial research design, or as a decision document in its own right to clarify the choices which must be made.

The second document is the Workplan. This is a research management tool, designed to facilitate converting the Issue Paper into operational terms. Its components include determining the personnel, budget, and data requirements for completing the project and setting deadlines for completing the tasks, all within the framework of the research objectives generated by the Issue Paper.

The last three documents shift attention to the outcomes of the analytical process. The Executive Summary forces analysts to present their findings in a succinct fashion by identifying the alternative courses of action which are possible and evaluating the potential problems for each. The Risk Assessment Grid is a technique for assessing the risks involved in attempting to implement each of the alternatives identified in the Executive Summary. It also serves as the foundation for the last document, the Implementation Document. Like the Workplan, the Implementation Document is designed to assist with managing the problems of carrying out a course of action. An important component of this process is the development of strategies for dealing with the risks identified in the Risk Assessment Grid.

Like the policy analysis process itself, completion of these documents is an iterative rather than a sequential process. They encourage the users to address critical questions for their project in order to increase the probability that the policy analysis will be relevant to the issue facing the agency, and will result in a decision which can be successfully implemented.

The materials to be used in the workshop are not limited to the major documents. In addition, several brief scenarios and more elaborate case studies are available to introduce participants to policy analysis through doing. Their specific use is described in the module and unit descriptions which follow. The issues used are drawn from common problems in corrections which can be addressed by policy analysis--e.g., overtime in prisons, community corrections, reorganization of an agency, minimum standards for jails. Each has a series of exercises accompanying them which require the

workshop participants to move through different stages of the policy analysis process.

The description of the workshop has been divided into three modules: The Policy Analysis Process, The Outcomes of Policy Analysis and Related Topics and Materials. Each of these modules are further subdivided into units which focus on specific components of policy analysis. Each unit is described in terms of the objectives it is trying to accomplish; the concepts covered by the material; the processes used to transmit the knowledge and skills on a step by step basis; and the resources available for each step, including suggested readings, lecture notes, decision exercises and forms. Each unit description is followed by the resource materials relevant to that topic.

Successful training depends as much upon the appropriate process as upon the content of the presentations. In keeping with this assumption, there has been an attempt to develop multiple means for transmitting each set of skills and knowledge. The processes include lecture, role playing, decision exercises and seminars.

An outline of the modules and units is contained in Table 1.

TABLE 1
TRAINING MANUAL COMPONENTS

Module 1:	The Policy Analysis Process
Unit 1:	Concepts, Techniques and Roles
Unit 2:	Defining the Problem for Analysis: The Issue Paper
Unit 3:	Research Management
Module 2:	The Outcomes of Policy Analysis
Unit 1:	Evaluating the Products of Policy Analysis
Unit 2:	Assessing the Risk of Policy Choices
Unit 3:	Managing Risk and Implementation Strategies
Module 3:	Related Topics and Materials
Unit 1:	Economic Analysis
Unit 2:	The Budget Game
Unit 3:	The Problems of Analysis in a Public Setting

Module 1, Unit 1 contains an overview of the policy analysis process. Stress is placed on the need for manager/analyst interaction, the requirements for defining an issue which is amenable to analysis, how policy analysis can be used in an agency, the relationship between policy analysis and managerial decision-making, and an introduction to some of the ways to approach a problem. A series of exercises to illustrate the components as well as lecture outlines which present the subjects didactically are included.

Module 1, Unit 2 focuses on defining an issue which the participants wish to address. The documents which are described below provide a structure to the problem. They are designed to force participants to address the critical questions concerning their problem so it can be approached from an analytical perspective. Since the definition of an issue is critical to success this unit is especially important for any workshop on policy analysis.

The third unit of Module 1 is concerned with the problems of managing a research effort. It assumes that an issue has been properly defined and it now remains to organize the effort to find the answers to the questions raised. Again a series of materials have been developed to facilitate the accomplishment of this objective.

The Outcomes of Policy Analysis, Module 2, shifts attention from defining a researchable problem and carrying it out to implementing the products of an analytical effort. It begins in Unit 1 with a consideration of the criteria for evaluating a research product. These include clarity of the choices to be made, an assessment of the evidence supporting each alternative course of action, the relevance of the results to the original issue, and identification of the political and administrative implications of each alternative.

Assessing the Risk of Policy Choices, Unit 2, contains a series of exercises designed to assist participants, in evaluating the risk of failure associated with each alternative identified in a complete analytical project. As was described in the previous section, the sources of risk may include an uncertain technology underlying the potential course of action, or a difficult set of political circumstances which will have to be resolved before implementation is likely.

The final unit of Module 2 carries the theme to its conclusion. It emphasizes the need to manage risk to increase the probability of success. The assumption is that it is impossible for corrections officials to adopt a risk avoidance strategy because of the controversy surrounding so many of its activities. Therefore, administrators must recognize the range of strategies which are available for managing both political and technological uncertainty if there

is to be some chance of successfully implementing a policy decision.

Module 3 contains a set of activities which supplement the major themes covered in the rest of the workshop. Since economics has been central to the historical development of policy analysis, and still dominates the applications in the field, a separate unit is devoted to this topic. It is designed to give participants a brief introduction to some of the major themes in economic analysis and its application to corrections. Included are such things as cost analysis, benefit-cost analysis, and cost-effectiveness analysis. The Urban Policy Game described in Unit 2 is a role playing exercise which illustrates the political context of policy analysis. It also provides a common set of experiences among the participants which can be used in other workshop units.

The material in Unit 3 addresses some general questions which arise when doing research, particularly the impact of the analytical framework on the definition of the issue.

There is no prescribed sequence to the specific topics covered. Each of the unit descriptions has been subdivided into a series of steps to facilitate intermingling the exercises. For example, much of the material in Module 1, Unit 1—Concepts, Techniques and Roles—is presented in didactic form. Several of the exercises surrounding the Issue Paper contained in Unit 2 (Defining the Problem for Analysis) can be used to reinforce the points made in the lectures. The material in Module 2, The Outcomes of Policy Analysis, assumes that a project has been completed by the participants. However, even this assumption can be relaxed through the use of a case study which has been prepared to serve as a substitute for work by participants themselves. Although less satisfactory than an actual project, the case study illustrates the necessary points.

It is not necessary for all the materials to be covered in any given workshop. The material described in this manual was originally presented in two workshops of one week each, the first workshop made up of the units in Module 1 and parts of Module 3, and the second focusing on the topics in Module 2. It is possible, however, to conduct much shorter sessions of two to three days focusing on a specific topic by selecting individual steps described within each unit.

1/

Yehezkal Dror, Public Policymaking Reexamined (Chandler Publishing Company, 1968, p.8.

2/

Allen Schick, "Beyond Analysis", Public Administration Review, Vol. 37, No. 3 (1977), p. 261.

MODULE 1: THE POLICY ANALYSIS PROCESS

UNIT 1: CONCEPTS, TECHNIQUES AND ROLES

This unit introduces a formal definition of "policy analysis", explains the iterative process required, presents the range of analytical techniques used and describes the roles played by managers and analysts. The predominant format can be lectures, seminars and discussion or several options can be used to increase participant interaction.

OBJECTIVES

1. To familiarize managers and analysts with the similarities and differences between policy analysis, process monitoring, impact evaluation, outcome measurement, and planning.
2. To compare and contrast the organizational roles and professional standards of managers and analysts.
3. To specify the practical and theoretical limits of policy analysis.
4. To distinguish between information and values as a basis for decision-making.

CONCEPTS

1. Policy analysis, as an activity or process, is the systematic, explicit examination of alternative ways for accomplishing public agency objectives.
2. The purpose of the policy analysis process is to generate, from data, information for use in a decision-making process which takes place in a particular environment.
3. The content of this process includes issue definition, data collection, data analysis, generation of alternatives, product evaluation, risk assessment and implementation of results.
4. The characteristics of policy analysis are: proactive, time-limited, multi-disciplinary and decision-oriented.
5. The role expectations of both managers and analysts are crucial to and impinge upon the translation of a felt personal or organizational need (issue) into terms that are researchable.

6. The manager's role is to: (a) help select issues for analysis (initiate); (b) assign responsibilities and resources (plan/organize); (c) assure the study remains relevant and seek cooperation (control/monitor); and (d) use the results (decide).
7. The analyst's role is to: (a) state the problem in a researchable question; (b) clarify the choices available to a decision maker; (c) manage the research effort; (d) conduct the analysis; and (e) translate all methodology and results into terms understood by the decision maker.
8. Resources, time, magnitude of the problem or available knowledge may limit the usefulness of policy analysis.
9. The manager/analyst interaction essential to the policy analysis process will generate a mutual commitment to the research effort and result in information of value to the decision maker.

PROCESS AND MATERIALS

Step 1 (Optional)

The Urban Policy Game (see Module 3, Unit 2 for details) may be used to introduce participants to each other and to highlight role differences between elected representatives (council), elected executive officers (mayor), public administrators (agency heads) and analyst's positions (planning and budget staff). The Game exemplifies the characteristics of policy analysis stated in paragraph 4 above and a "policy analysis" of the budget's effect on Metro signs can be performed. (Time: 180 or 360 minutes)

- | | |
|-----------|--|
| Lecture: | a. Explanation of Game Rules (See <u>Urban Policy Game</u>) |
| Readings: | a. Henderson, <u>Urban Policy Game</u> |
| Notes: | a. Game Parallels to Policy Analysis (See Module 3, Unit 2) |
| Forms: | a. See Module 3, Unit 2, Urban Policy Game |

Step 2 (Optional)

Prior to the training, participants are asked to record the use of their time for two "typical" days on The Daily Activity Summary. Small groups (4-5 persons) of managers and analysts from different organizational units are formed. Individuals, first, are asked to allocate their time from The Daily Activity Summary in terms of purposes listed on The Managing Time form. These small, mixed groups then compare the time allocations of managers and analysts separately to reveal any differences and/or similarities. Results are reported to the entire group. The discussion leader highlights any role differences revealed by the

information; if similar, the questioning is directed toward how the lack of role differentiation affects the use of analysis in decision-making. (Time: 60 minutes)

- Forms: a. Daily Activity Summary
 b. Managing Time

Step 3

A lecture to the entire group introduces formal definitions, describes the policy analysis process, managers' and analysts' roles in that process and limitations. The overriding concept is the inherent tension between science and politics. Lecture 1 (Time: 60 minutes) includes some of the material covered in Step 4 below; Lecture 2 (Time: 30 minutes) is an introduction to a shorter version to be used in conjunction with Step 4.

- Lectures: a. Introduction to Policy Analysis (1)
 b. Introduction to Policy Analysis (2)
- Readings: a. Quade, Analysis for Public Decisions, Chapters 1-4
 b. Hatry, et al, Program Analysis for State and Local Government, Chapters I and II
- Forms: a. Policy Analysis Process
 b. Policy Analysis Context

Step 4 (Managers)

A lecture/discussion with managers only is used to explore in more detail the points introduced in Step 3. A key aspect is what the products of policy analysis should do, viz., clarify choices, increase the number of alternatives considered, improve the quality of information, estimate risk and present a comprehensive, multi-disciplinary perspective. The trainer also may discuss how different management styles and decision-making environments may support or obstruct an objective, systematic examination of policy issues. (Time: 60 minutes)

- Lecture a. Policy Analysis: Managerial Perspective (Managers)
- Readings: a. Hatry, Program Analysis for State and Local Government, Appendix C
 b. Dror, Design for Policy Sciences, Chapters 1 and 2
 c. Allison, Graham, Essence of Decision, pp. 10-38, 67-96, 144-181
 d. Persig, Zen and the Art of Motorcycle Maintenance, pp. 63-77
- Forms: a. Policy Analysis Hierarchy

Step 4 (Analysts)

Simultaneously with the preceding managers' session, a lecture/discussion compares and contrasts policy analysis with basic research, planning and program evaluation. (This time can be used to elicit from participants how their studies have been used by decision makers.) Once basic distinctions are drawn, the Policy Analysis Hierarchy, describing possible analytical techniques, is presented. The analysts' responsibilities are discussed. (Time: 60 minutes)

- Lecture: a. Policy Analysis: An Analytical Perspective (Analysts)
- Readings: a. Rossi and Wright, "Evaluation Research"
b. Dror, Design for Policy Sciences, Chapters 1 and 2
- Forms: a. Policy Analysis Hierarchy
b. Overview of Management Techniques

Step 5 (Optional)

Decision Problem 1 is used with all participants to reinforce the notions that analytical and managerial perspectives differ and that certain problems are simply political and not a proper subject of policy analysis. See Module 1, Unit 2 for a complete description. (Time: 90 minutes)

Step 6 (Managers)

This lecture/discussion sets forth the specific tasks managers must perform to support the analyst during a policy study. They are: (a) help select issue for analysis; (b) assign responsibility and resources; (c) seek cooperation and participation; (d) assure study objectives are being met; and (e) use the results. These tasks are consistent with traditional management functions: initiate, plan, organize, control and monitor. (Time: 45 minutes)

- Lecture: a. Needs of the Policy Analyst

Step 6 (Analysts)

This lecture/discussion describes the political environment in which the public administrator operates and how this impinges on the analytical process. (The session may be introduced by asking participants for their definitions of "politics".) "Politics" is defined as a process for resolving conflicts over values and/or objectives that may require bargaining, delay, arbitration, etc. This process can be antithetical to scientific method when compromise is possible only with ambiguous objectives, incremental solutions, and/or alternatives that do not threaten the status quo. Illustrative bureaucratic, electoral and private values are outlined in terms of how they affect decision-making. (Time: 45 minutes)

- Lecture: a. Political Perspectives (Analysts)
- Readings: a. Cox, "Managerial Style"

Step 7

This is an individual and group exercise designed to reinforce the concept that criteria used in making decisions vary among individuals (and, perhaps, organizational positions). They may be programmatic, administrative, political or personal in nature. Prior to or during the training, participant teams will be asked to jointly identify an issue or problem confronting their organization that needs further analysis. Managers and analysts (preferably in separate groups) are provided 16 decision criteria listed and coded separately on index cards. (The initial element of the codes (R, W, 2, 7) simply classify the type of criterion as program, administrative, political or personal. The second element identifies the specific criterion and can be used, if desired, to determine frequencies.) They are instructed:

"Why do you think your co-participant agreed to (chose) the particular issue or problem? Review the cards you have. Eliminate any you feel are inappropriate. Arrange the cards so the reason you feel was most important to your co-participant is first; next in importance, second, etc. List the codes (R1L, W11, 21T, 713, etc.) in the order they appear on on the Rank Order of Decision Criteria form."

"Now, combine all cards, mix them and do the same elimination and ordering for yourself." (Time: 15 minutes)

The following options may be done with the entire group or with managers and analysts separately.

- A. Participants compute a mean rank order for each type of criterion for both themselves and their co-participant. For example:

	<u>Manager</u>	<u>Analyst</u>
R1L:	2	8
R22:	8	1
R37:	10	6
R44:	12	5
Total:	32	20
Mean:	8	5

Results are entered on the Summary of Decision Criteria form. Similarities and differences between the two mean rankings are discussed within the context of points made in Step 6 (e.g., politics vs. analysts' organizational roles). (Time: 45 minutes)

- B. Using the first element of each code (R, W, 2, 7), participants are polled regarding the frequency with which they cited different types of criteria for themselves and for co-participants. The group totals for each type can be summed to preserve anonymity and entered on an overhead. Points are made similar to A, above. (Time: 30 minutes)

In both options A and B, the Schematic of the Policy Analysis Process can be used to highlight the importance of criteria to the entire process.

- Readings: a. Quade, Analysis for Public Decisions, Chapter 18
- Notes: a. Decision Criteria list
- b. One set of index cards for each participant
- Forms: a. Rank Order of Decision Criteria
- b. Summary of Decision Criteria
- c. Policy Analysis Process

Step 8

The trainer provides closure to this unit by reiterating the definition of policy analysis, describing the process, and listing the limitations. This summary should draw as much as possible on the discussions and activities in Steps 1-7. A shortened version of force field analysis can be used to elicit factors in participants' organizations that contribute to or hamper doing the type of analysis described.

- Notes: a. Discussion Leader Questions
- Forms: a. Developing a Policy Analysis Capability
- b. Policy Analysis Process

STEP 2 (OPTIONAL)

Program in Correctional Economics and Policy Analysis

DAILY ACTIVITY SUMMARY

One of the resources to be used at the workshop is a summary of your activities on two "typical" days. Each day is segmented into 30 minute time periods. Simply indicate the approximate amount of time for various activities on any Monday and Wednesday. Notes may be added as a reminder of the reason(s) for a meeting, telephone call, etc. Please fill out the form as you go through the day, rather than relying on memory at week's end.

PLEASE BRING THIS SHEET TO THE WORKSHOP.

		<u>ACTIVITY</u>				<u>NOTES</u>			
		<u>Meetings</u>		<u>Individual Work</u>					
		Telephone Calls	(with agency persons)	(with outside persons)	In-box/paperwork	Reading	Writing	Other	
8-1	<u>MONDAY</u>								
	8:30								
	9:00								
	9:30								
	10:00								
	10:30								
	11:00								
	11:30								
	12:00								
	12:30								
	1:00								
	1:30								
	2:00								
	2:30								
	3:00								
	3:30								

(Continued)

ACTIVITY

NOTES

		Meetings		Individual Work				
		(with agency persons)	(with outside persons)	In-box/ paperwork	Reading	Writing	Other	
<u>MONDAY</u>	4:00							
	4:30							
	5:00							
<u>WEDNESDAY</u>	8:30							
	9:00							
	9:30							
	10:00							
	10:30							
	11:00							
	11:30							
	12:00							
	12:30							
	1:00							
	1:30							
	2:00							
	2:30							
	3:00							
	3:30							
	4:00							
	4:30							
	5:00							

6-1

NAME _____

MANAGING TIME

Review how you spent your time on the "typical" Monday and Wednesday recorded on the Daily Activities Summary. Then, reflect on why you were meeting with someone, having a telephone conversation, reading something, etc. Estimate the approximate percent of time you were doing the following:

	<u>Estimated Percent</u>
Short and Long-run Planning	_____
Liasion with Persons or Organizations Outside	_____
Dealing with Some Urgent Matter	_____
Reviewing Studies, Reports, Memoranda, etc.	_____
Preparing a Report or Study	_____
Collecting Information for a Task or Decision	_____
Routine Administrative (fiscal, personnel, correspondence, etc.)	_____
Other	_____

STEP 3

INTRODUCTION TO POLICY ANALYSIS (1)

- I. DEFINITION: The systematic application of behavioral (social) science techniques to examine alternative means for accomplishing public agency objectives.
- A. Cannot determine what the objectives ought to be--that is product of political process.
 - B. Policy analysis assumes objectives are given and the problem is to assess the effectiveness of different ways of accomplishing them.
 - C. However, objectives are not always clear and usually one task in developing a policy analysis issue for examination is identifying the relevant objectives.
 - D. Use a variety of research skills and analytical approaches--cost analysis, logical inference, modeling, surveys, forecasting--to assess means.
 - E. Object of research is to explain why one means is more likely than another to accomplish desired goals (explanation rather than describe what has happened).

II. CHARACTERISTICS OF POLICY ANALYSIS

- A. Decision-oriented
 - 1. Assumes administrators must make a choice, that some action must be taken.
 - a. Different from statistical report on last year's inmate population.
 - b. Basic research, by contrast, trying to improve general knowledge about subject, e.g., recidivism, or why kids go bad.
 - c. Planning frequently a wish list, or a description of objectives rather than identifying alternative means of getting there.

2. Purpose of policy analysis is to provide more reliable information on which decision makers can base their decisions.

- a. Do not have to rely on their own experience alone.

B. Proactive

1. Policy analysis is future oriented; that is, what will happen if I adopt one means rather than another.
2. Attempts to anticipate problems rather than react to them after they arise.
 - a. Contrast with firefighting.
 - b. Reduce the number of crises to which managers must respond (however, crises cannot be eliminated).

C. Multi-disciplinary

1. Uses whatever analytical techniques are useful to the decision.
 - a. E.g., cost/effectiveness of a comprehensive resource management approach to casework may begin with an economic framework but likely to use survey research and psychological testing as well to measure effectiveness.

D. Time-limited

1. Products to be used in "immediate future".
 - a. Cannot postpone analysis because data is incomplete.
2. Frequently makes analysts uncomfortable because there are major holes in the data.
3. For managers, always a trade-off between time limits and reliability of the results.
 - a. E.g., projecting prison populations on the basis of intake/outflow statistics only because there is no time to gather additional data.

III. BECAUSE OF ITS DECISION ORIENTATION, PROCESS OF DOING POLICY ANALYSIS MUST INCLUDE BOTH MANAGERS AND ANALYSTS.

A. Manager's role

1. Help select issues for analysis (initiate/anticipate).

- a. May come from hunches, intuitions, intelligence information, political pressures.
 - b. Wrong Issue, Wrong Analysis--No use developing a classification scheme to assign offenders to programs if the important issue is security not programs.
- 2. Assign responsibility/allocate resources (plan/organize).
 - a. Knowledge of staff usually higher for manager.
 - b. Greater understanding of what is needed.
 - c. Decide when it is needed.
 - d. No Resources, No Analysis--Cannot expect reliable population projections if staff is unavailable for collecting needed data.
- 3. Assure objectives, criteria, actors remain important; seek cooperation and participation (control/monitor).
 - a. Personal contacts.
 - b. Scheduling, progress reports.
 - c. No information, no analysis.
- 4. Review and use results.
 - a. Must understand the assumptions underlying the analysis--is success of halfway house dependent upon a particular type of offender being present in the system in large numbers?
 - b. Be prepared to accept negative results--personal program commitments may not be supported by the facts.
 - c. Recognize analytical results one set of information; political and administrative constraints must be weighed against objective data.
- 5. Manager's role is analagous to traditional functions of manager.
 - a. Initiate/anticipate: Where to go (firefighting, proactive).
 - b. Plan/organize: How to get there.
 - c. Control/monitor: Did/are we making it.

B. Analyst's role

- 1. Translate decision problem into a researchable issue.
 - a. Must distinguish between the political content--e.g., are community programs a "good thing", or does it involve too much risk- and analytical content--e.g., will halfway houses relieve the population pressure on prisons.

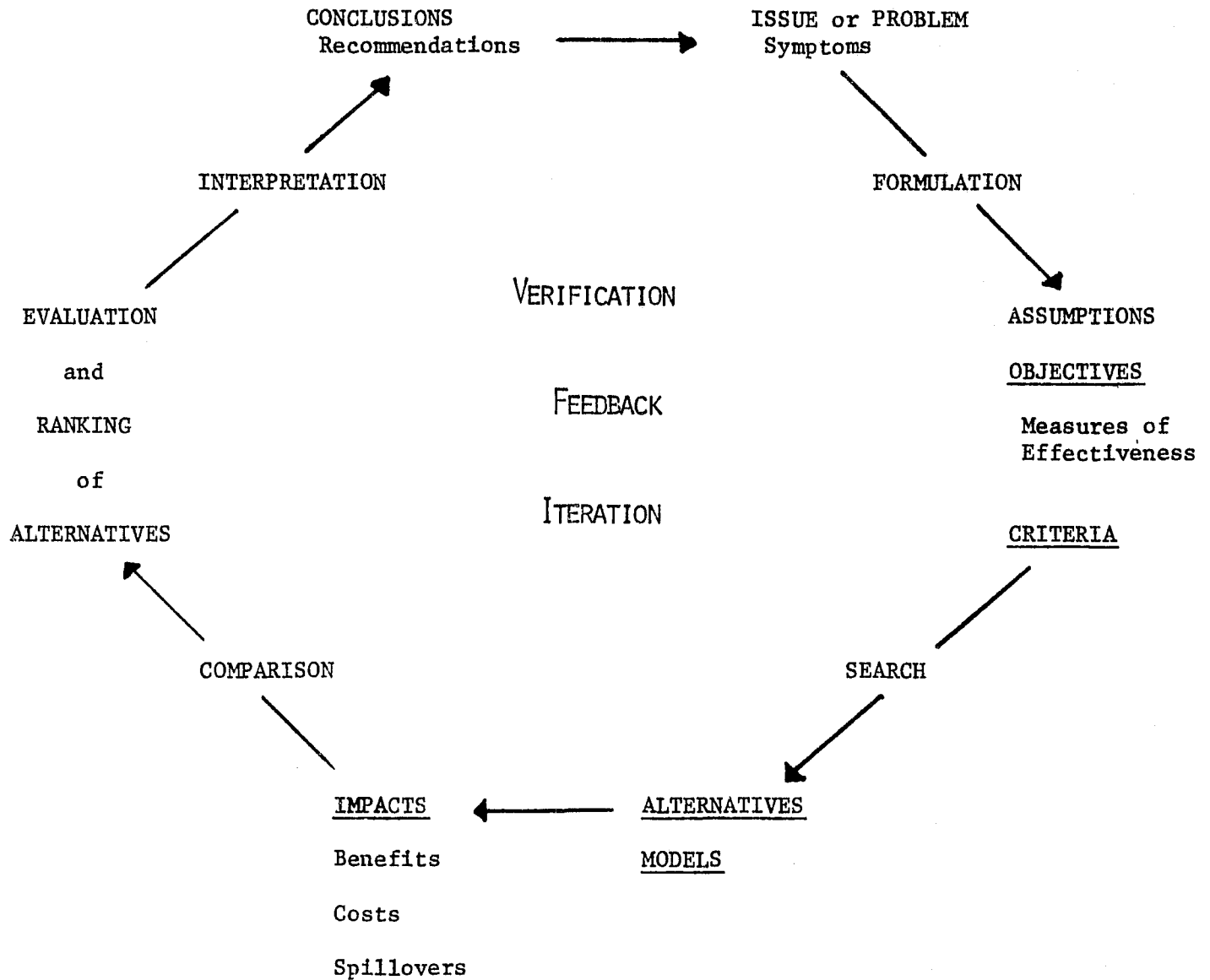
2. Clarify the choices available to the manager.
 - a. Issue likely to be stated in vague, imprecise terms-- e.g., overcrowding, or too much overtime, or "what the hell is going on in probation in the second judicial district?"
 - b. Conduct search for alternative courses of action. Alternatives often limited to the most obvious, e.g., repeal the determinate sentencing law when changes in the classification system or parole procedures may minimize the negative effects.
 3. Manage the research effort and carry out the analysis.
 - a. Although the manager can help in locating resources, it is up to the analyst to see they are used efficiently.
 - b. Analyst must provide the analytical skills either himself or through his staff.
 4. Translate the product of the analysis into terms understandable to the manager.
 - a. May use elaborate statistical techniques in doing analysis, but these unlikely to be understood by administrator.
 - b. Ultimate objective is to identify alternative means and estimate the probability that each one will not be effective.
- C. The policy analysis process is iterative.
1. Schematic of Policy Analysis Process.
 2. Manager/analyst interaction necessary throughout the process.
 - a. To ensure political and managerial requirements are integrated with the analytical requirements.

IV. LIMITS TO USE OF POLICY ANALYSIS.

- A. Resources may not be available.
 1. Need economist and have none.

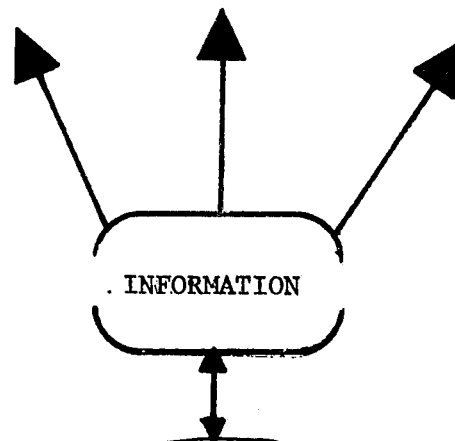
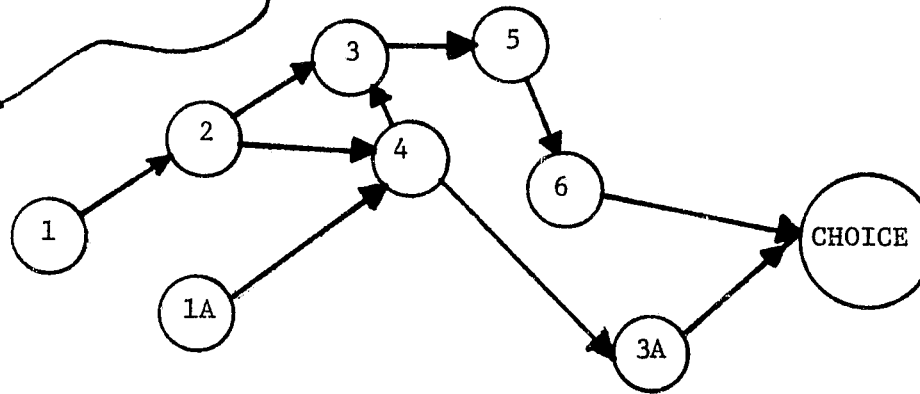
- B. Time too short.
 - 1. If governor wants budget figures today you cannot wait for analysis of implications.
- C. Problem does not warrant expenditure of resources.
 - 1. Assessment of purchasing procedures, but not tracking down what happened to latest order for blankets.
- D. Knowledge so limited; experience most relevant.
 - 1. Reaction of governor or legislature to budget proposals.
- V. POLICY ANALYSIS: Ultimately depends upon willingness of managers to base their decisions about means on objective information and not just personal intuition.
 - A. This information must be tempered by the political and administrative constraints of the situation.
 - B. In political environment, problems are often not solved by appeal to facts, evaluations, analysis.
 - 1. (Zen, pp. 224-25) Alternative approaches to seemingly insolvable dilemmas:
 - a. "Throw sand in the bull's eyes": "You simply don't know corrections well enough to say it won't increase our population."
 - b. "Sing the bull to sleep": "I simply carry out the orders of judges; perhaps, they can answer the question, since they are much better informed."
 - c. "Refuse to enter the bull ring": "It's impossible to estimate the impact of definite sentencing, because it depends on the reactions of police, prosecutors, judges, what crimes are included, etc. Therefore, impact is irrelevant to the decision."

FIGURE 1
POLICY ANALYSIS PROCESS



THE CONTEXT OF POLICY ANALYSIS

ENVIRONMENT



INTRODUCTION TO POLICY ANALYSIS (2)

I. POLICY ANALYSIS

- A. "Systematic, explicit examination of alternative ways to accomplish public agency objectives":
 - 1. "Systematic": Scientific methodologies and political symbolism
 - 2. "Explicit": Overt, open
 - 3. "Alternative": Conflict, future uncertainty
 - 4. "Public": Electoral politics, bargaining and compromise
- B. The process steps (schematic):
 - 1. Problem (symptom, felt need)
 - 2. Objectives being hampered
 - 3. Search (multi-dimensional)
 - 4. Alternatives (creative)
 - 5. Recommendations
- C. Process and content characteristics:
 - 1. Future-oriented (anticipatory, pro-active)
 - 2. Time-limited (a problem)
 - 3. Multi-disciplinary (complexity)
 - 4. Action-oriented (a decision)

II. QUALIFICATIONS ON THE IDEAL

- A. Belies complexity in an organizational context
 - 1. Positive interaction of decision maker and analyst
 - (a) Impact of management style on interpersonal relations
 - (b) Advocacy and personal values
 - 2. Come with different approaches and views on a problem because of difference in organizational roles
 - (a) Zen, p. 63-77
 - (b) Art/Science, classic/romantic
 - (c) Observation/Intuition
- B. In political environment, problems are sometimes not solved by appeal to facts, evaluations, analysis:
 - 1. Budget is example of one such process (decision-making process)

2. Zen, pp. 224-25: Alternative approaches to seemingly insolvable dilemmas, e.g., impact of definite sentencing:

- (a) "Throw sand in the bull's eyes" = "You simply don't know corrections well enough to say it won't increase our population".
- (b) "Sing the bull to sleep" = "I simply carry out the orders of judges; perhaps, they can answer the question, since they are much better informed".
- (c) "Refuse to enter the bull ring" = "It's impossible to estimate the impact of definite sentencing, because it depends on the reactions of police, prosecutors, judges, what crimes are included, etc. Therefore, impact is irrelevant to the decision".

III. SCHEDULE REVIEW (May vary depending on actual program)

A. Content

- 1. More detail on respective roles of managers and analysts in policy analysis process
- 2. Work with some specific correctional issues drawn from applications
- 3. Working on specific issues selected by agency teams; problems and solutions
- 4. Develop study design for issue
- 5. Cost, cost-effectiveness, cost-benefit

B. Activities

- 1. Decision problems
- 2. Case studies
- 3. Seminars
- 4. Role playing

STEP 4

POLICY ANALYSIS: MANAGERIAL PERSPECTIVE (MANAGERS)

I. INTRODUCTION

- A. "Policy Analysis": The application of the knowledge and techniques of economics and the behavioral sciences, in a systematic fashion, to choices which must be made by public officials.
 - 1. Operates under a variety of titles: operations research; program evaluation; cost-effectiveness studies; systems analysis.
 - 2. Its use is expected to increase the reliability of public choices by enhancing the knowledge on which they are based.
 - a. If nothing else, increase our understanding of the relative risks involved in each alternative.
- B. Limitations: Policy analysis is not a cure-all.
 - 1. Utility depends upon character of the problem and the environment in which the problem arises.
 - 2. Manager need not be able to do policy analysis, but must know when it is relevant or it will be a useless exercise.
 - 3. To do that, the analyst needs to be aware of the products of policy analysis and when they are relevant.

II. PRODUCTS OF POLICY ANALYSIS

- A. Products flow from the character of policy analysis: Clarity of choice; increase range of alternatives; comprehensive perspective; increased reliability of information; calculation of risk.
- B. Clarity of choice is direct product of all policy analysis.
 - 1. Before information can be gathered analyst must explicitly identify purposes, objectives. This is a prerequisite for objectivity.

2. We frequently react to stimuli without looking at alternatives and implications of each because there is no time to conduct a search (analysis) and because most administrative decisions are made that way.

C. Comprehensive perspective.

1. Analyst must try to bring maximum resources to bear, define problem broadly. This usually requires multiple disciplines and multiple agencies.
2. For example, future prison population must take into account courts, police, parole, probation, psychology of judges, economic conditions, and politics of sentencing.

D. Increased reliability of information.

1. Gathered systematically rather than haphazardly.
2. Look for ways to measure things objectively. If can't quantify, then range of impressions.
3. Essence of policy analysis is to conduct research in such a way that someone else will get the same results. Like scientific method generally.

E. Increase range of alternatives considered in the decision.

1. Purpose is not to come up with best answer, but identify as wide a range of responses as possible. The decision maker will help assess feasibility.
2. E.g., prison overcrowding--how to get more beds (build, convert, borrow, lease); how to have fewer prisoners (release, diversion).

F. Calculate risk.

1. Usually think of research as telling you advantages; real purpose is to identify what you do not know.
2. Cannot tell you if change in parole procedures will reduce recidivism; may be able to tell you whether risk goes up or down with change.

III. LIMITATIONS OF POLICY ANALYSIS.

- A. Resources may not be available.
 - 1. Need economist and have none.
- B. Time too short.
 - 1. If governor wants budget figures today you cannot wait for analysis of implications.
- C. Problem does not warrant expenditure of resources.
 - 1. Assessment of purchasing procedures but not tracking down what happened to latest order for blankets.
- D. Confusion will help, not hinder a decision.
 - 1. Cost-effectiveness of new facility or conversion of existing one, but not how to convince governor or Dept. of HRS to turn over unused space in mental hospital.
- E. Knowledge so limited; experience most relevant.
 - 1. Reaction of governor or legislature to budget proposals.

IV. MANAGER/ANALYST ROLES.

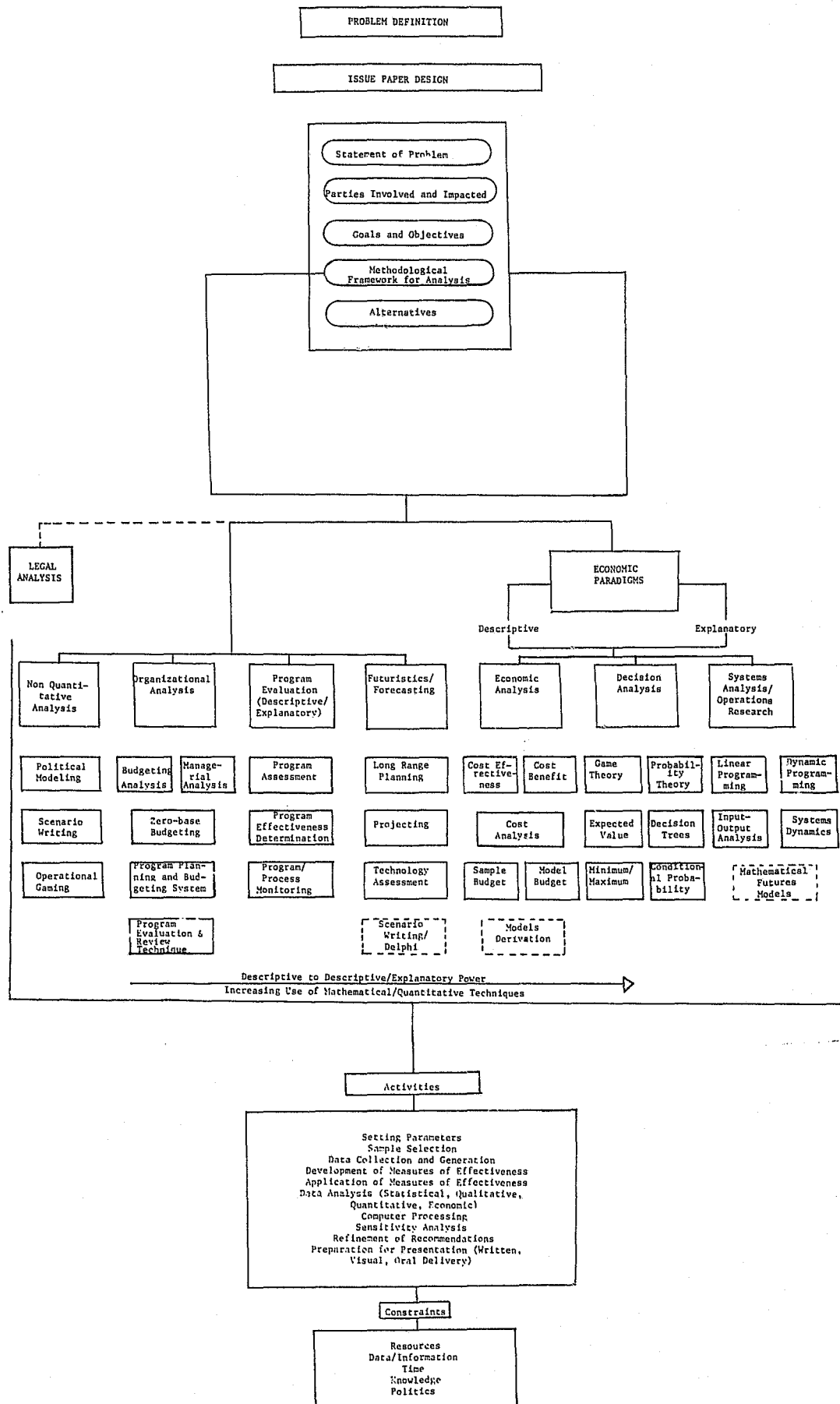
- A. Analysts can do the research required.
 - 1. But managers must provide purpose, allocate resources and use results.
 - 2. Without joint venture policy analysis will be irrelevant and useless.

POLICY ANALYSIS HIERARCHY

The policy analysis hierarchy indicates the kinds of analytic activities that result from issue paper formulation, and suggests a way to think about the various types of activities with respect to one another. It is not exhaustive -- all possible types of policy analysis and their components are not included -- and as a construct for categorizing types of analysis it is an oversimplification. It represents only one particular conceptualization of the activities; a specialist in any given area would probably represent it very differently. It also does not indicate the interrelationships and overlapping components among them. Several types have similar attributes, and in actual analytic situations would be used interchangeably or simultaneously. The methods of analysis do not lend themselves to linear or hierarchical description, and as such it is artificial. However, it does provide an overview of policy analysis types and activities.

Legal analysis, though of course very significant, is only peripherally related to policy analysis for our purpose (and therefore "attached" to the hierarchy by dotted lines). The other methods and activities shown within dotted lines are not readily slotted into any one category; they are only a few examples of various possibilities for organizing the types.

POLICY ANALYSIS HIERARCHY



POLICY ANALYSIS: ANALYTICAL PERSPECTIVE (ANALYSTS)

I. INTRODUCTION

- A. Ask participants what their expectations are for the training session.

II. POLICY ANALYSIS REVIEW. (Select points from "Introduction to Policy Analysis" lecture).

A. Policy Analysis definition:

- 1. Systematic, explicit examination of alternative ways to accomplish public agency objectives.

or

- 2. The systematic application of behaviorial (social) science techniques to accomplish public agency objectives.

B. Focus

- 1. On decision-relevant analysis

C. Policy analysis characteristics:

- 1. Time-limited--products to be used in "immediate future".
- 2. Action-oriented--due to focus on decision-making.
- 3. Anticipatory (future-oriented)--focus on usage of results.
- 4. Multi-disciplinary--draws on many disciplines and techniques (multi vs. interdisciplinary).

As such, policy analysis is distinct in process and in products.

D. General policy analysis comments:

- 1. Tends to look at alternatives.
- 2. Interactive process.
- 3. Iterative process (or, one which allows "regrouping"); in fact, can't go on until this is done.
- 4. Selected references may be made to the Budget Game, Module 3, Unit 2, if appropriate, e.g.,

- a. "Time" constraints.
- b. No time for analyzing Metro signs.
- c. No knowledge of future contingencies (e.g., inflation) or the effects of this year's budget decisions.

E. General requirements for analytical products:

- 1. Feasible (capable of action, implementation).
- 2. Clear (communicate results).
- 3. General (greater than parts, multi-disciplinary).
- 4. Valuable (the decision maker can use).

III. YOUR ROLE

A. As "analysts", vital to process--even though interactive, analysis is what you do; you are, therefore, closer to project.

B. Policy analysis as related to other analytical or research duties (differences).

1. Research

- a. Not necessarily time-limited.
- b. Not necessarily providing information for decision-making.
- c. Could be multi-disciplinary and anticipatory.

2. Planning

- a. Doesn't always have time limitations.
- b. May not focus on specific decision.
- c. May not specify alternatives.
- d. May not consider resource constraints.
- e. Often takes goals as given (planning may be normative: what should occur) (e.g., commission corrections will reduce prison population; therefore develop)

(Planning is "hard to call" since variegated activities.)
Long-range Master Plan is not policy analysis but a product of planning department maybe.

3. Program Evaluation

- a. Tends to look at a given, specific program and whether it fulfills its goals.
- b. Impact-oriented.

- (1) Are program results as expected?
- (2) Are they due to progress?

- c. Won't necessarily look at alternatives.
- d. Look at givens.
- e. Not necessarily interactive.

4. Descriptive

- a. Statistics
- b. Surveys

C. Greater analytical knowledge (leads to greater responsibility):

- 1. Responsibility (more explicit in policy analysis process) to consider political dimensions;
- 2. At front end, advise decision maker when analysis would not help;
- 3. Once undertake study must carry through analysis.

IV. YOU AND POLICY ANALYSIS (not quite "corrections at the crossroads", but more social science techniques are being applied to corrections.

A. Policy analysis can make job more "fun":

- 1. Less aborted efforts, or dead ends;
- 2. Your input more obvious at front end (in touting policy analysis, getting away from "process" of "look into this, Harry!")

B. Policy analysis and you won't guarantee that choices are "right", only that they are informed.

C. Futuristic aspect may prevent (some) problems arising later on.

D. Not an advocacy tool.

E. Analyst's basic input:

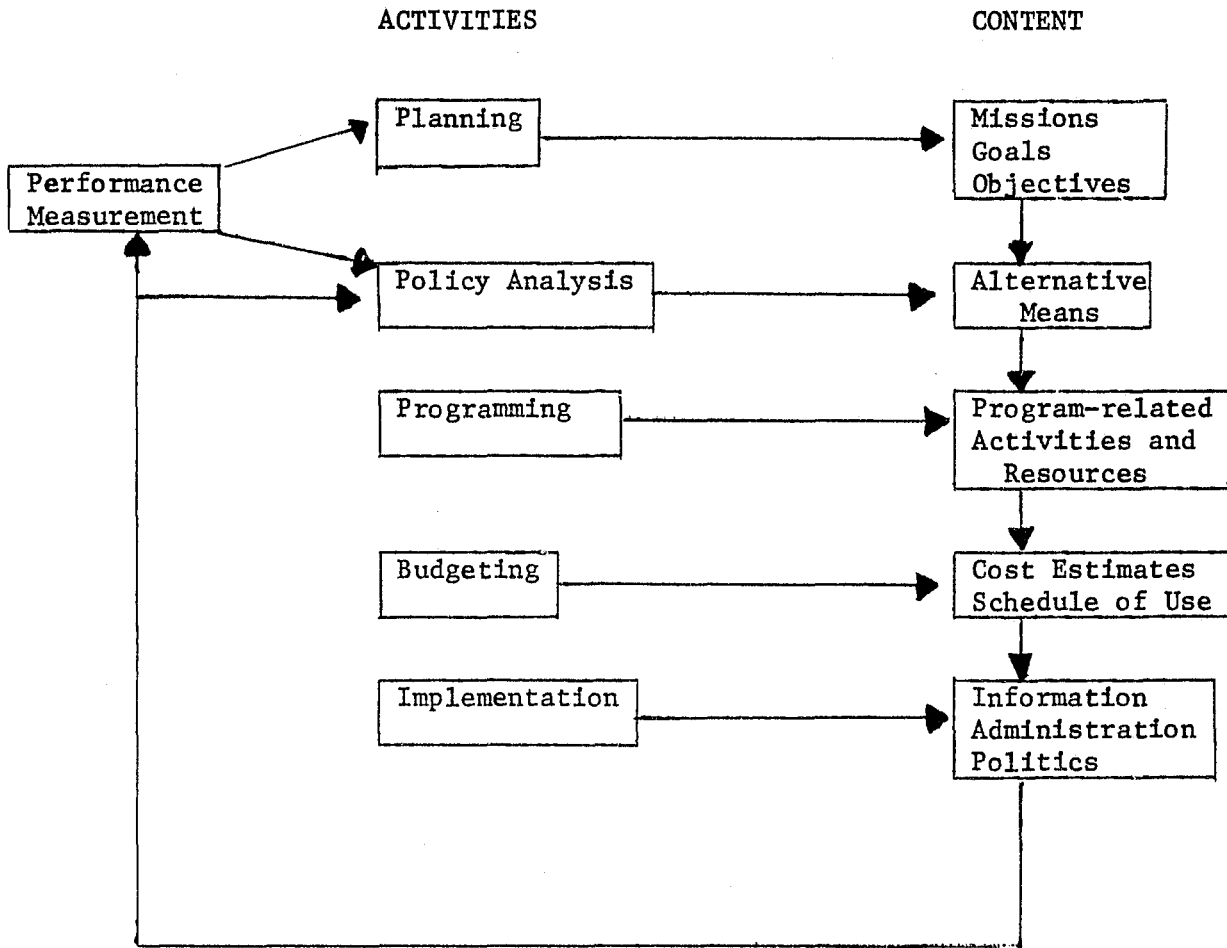
- 1. Is problem amenable to analysis?
- 2. Are resources available?
- 3. Will result be relevant to decision (pick your arenas)?-- there must be a decision--won't solve political problems--sometimes decisions aren't all political.

~~F. Analysis must be relevant to decision.~~

G. Policy Analysis Hierarchy

- 1. Reflects policy analysis process.

OVERVIEW OF MANAGEMENT TECHNIQUES



STEP 6

NEEDS OF THE POLICY ANALYST (MANAGERS)

I. INTRODUCTION

- A. Purpose: To discuss the role you can play in helping analysts develop information for your decisions.
- B. Review:
 - 1. The game---begin to highlight the political aspects of agency budget requests;
 - a. BUT, also use information prepared by staff from Public Works, Public Safety and Recreation.
 - 2. Discuss how policy analysis may be used in this environment.
 - 3. Analyze a correctional problem: origins, importance, meaning to agency.

II. THE POLICY ANALYSIS PROCESS

- A. Schematic of policy analysis process.
- B. As distinct from analytical process (scientific method) that:
 - 1. States assumptions: Looks at books, asks people.
 - 2. Collects information: Interviews people (interaction), captures bits from reports (gut work with things).
 - 3. Tries to organize others perceptions and experiences, "hard" data presumably reflecting what is happening.
 - 4. Attempts to assign "meaning" to these data.
 - 5. Using a whole set of "techniques".

III. TRADITIONAL MANAGERIAL FUNCTIONS

- A. Initiate/anticipate: "Where to go?" ("firefighting" or proactive).
- B. Plan/organize: "How to get there?"
- C. Control/monitor: "Did/are we making it?" (budget, statistical, personal)

IV. MANAGEMENT FUNCTIONS AND POLICY ANALYSIS

A. Initiate/anticipate: Help select issues for analysis.

1. Hunches, intuitions.
2. Intelligence information.
3. Pressure from outside.

WRONG ISSUE, WRONG ANALYSIS

B. Plan/organize: Assign responsibility; allocate the resources.

1. Knowledge of staff (usually).
2. Understanding of what is needed.
3. Decide when it is needed.

NO RESOURCES, NO ANALYSIS.

C. Control/monitor: Assure objectives, criteria, actors remain important; seek cooperation and participation.

1. Personal contact.
2. Scheduling, progress reports.

NO INFORMATION, NO ANALYSIS.

D. Initiate, plan, organize, control: Review and use results.

V. EFFECTS OF ORGANIZATIONAL POSITION

A. Position of authority to decide agency policies.

1. Uniquely, you know what you want.

B. Responsible for organizational units that will be called upon for data, ideas, suggestions, help, change. (Coordination of different groups' tasks.)

C. Contact with the environment, other agencies, interest groups-- a channel of communication unavailable to the analyst.

VI. RELATIVE TIME COMMITMENT TO POLICY ANALYSIS

A. Problem statement (origin, size, type, reason)

1. "A lot of time."

- B. Parties involved/impacted
 - 1. "Some time, especially for external actors."
- C. Agency, program, or activity goals and objectives
 - 1. "A lot of time."
- D. Methodological framework
 - 1. "Very little, unless interested."
- E. Alternatives
 - 1. "Some, especially limiting to feasible alternatives."

VII. SUMMARY

- A. Policy analysis activities similar to those you, as manager, perform all the time.
- B. Analysis (a "scientific" approach) is different from managing an organization in a political environment:
 - 1. Skills are different.
 - 2. Methods are different.
 - 3. At times, these differences may cause problems: Public administrator's direction is ultimately controlled by electoral politics; the analyst's, at most, by bureaucratic politics. One needs precise objectives; the other may need to be vague to maintain support for the organization.

VIII. PROSPECTUS

- A. Work with analyst in adapting an agency issue.
- B. Jointly and independently in selecting, defining and planning a policy study for your agency.
 - 1. To provide the foundation to build a workplan for carrying out the study.

POLITICAL PERSPECTIVES (ANALYSTS)

I. ANALYSIS AND PUBLIC DECISIONS

A. Decision maker must make political choices.

1. Fundamentally different from administrative or policy analysis choices.
2. Policy analysis and administrative decisions assume that objectives are agreed upon.
 - a. Issue for these types of decisions is how best to achieve objectives, not what the objectives should be.
 - b. Search for alternatives is search for different means (not ends), or search for different balancing of costs and benefits.

B. Politics is necessary when the choice is over what the objectives or criteria should be.

1. Not trying to clarify existing objectives.
2. All values or objectives are equally valid but may be incompatible.
3. E.g., purpose of prisons to punish or reform.
4. E.g., is death penalty a valid punishment (assuming deterrence or no deterrence).

C. If only an individual is involved, personal values can be used to make decision.

1. Politics arises when a decision must take account of interests of several people who are in conflict.

II. TYPES OF OBJECTIVES AND/OR VALUES

A. Bureaucratic objectives and values:

1. Program commitments
2. Substantive and specific
3. Budget constraints
4. Territoriality
5. Status
6. Personality

B. Objectives and values of elected officials (including staff):

1. Symbolic issues, breadth of interest, coalition formation
2. Interest likely to be transitory
3. Personal program commitments
4. Personality
5. Career aspirations

C. Objectives and values of private citizens:

1. Different for individuals, organized groups, and ad hoc groups in intensity of commitment and ability to mobilize.
2. Interests tend to be intense on narrow interests.
3. Prolonged involvement low, especially in corrections.

III. POLITICS: THE ART OF RESOLVING CONFLICTING OBJECTIVES AND VALUES

A. Conflict resolution may take several forms:

1. Win; lose; compromise; postponement; decide not to decide.

B. Since one cannot appeal to higher values (e.g., reduce crime, promote public welfare, enhance justice) must find some other decision rule.

1. Usually arbitrary such as appeal to hierarchical authority or based on number of votes.
2. Often requires reaching consensus through implicit or explicit bargaining or compromise and a vote is a formality.

C. Difficulty of reaching agreement affected by type of conflict:

1. Zero vs. non-zero sum conflicts.
2. Utility of symbols vs. specifics.
3. Resources - information, money, career advancement, formal positions.
4. Crisis situation encourages consensus by decreasing the utility of delaying decisions.

IV. IMPACT OF POLITICS ON POLICY ANALYSIS

A. Impact on clarity of objectives:

1. Symbolic vs. substantive goals.
2. What is meant by a legislative "decision".

B. Impact on implementation:

1. Incremental solution more likely than a rational, comprehensive solution.

C. Impact on the search for alternatives:

1. May threaten existing or prospective coalition(s).

D. Impact on research parameters:

1. Explanatory models contain values of their own.
2. E.g., can experiment with the effects of some drugs, but not of others such as marijuana.

STEP 7

DECISION CRITERIA

1. PROGRAM

R1L PROMOTE THE PROGRAM OF THE AGENCY
R22 PROVIDE BETTER SERVICES TO AGENCY CLIENTS
R37 ENCOURAGE INNOVATIVE PROGRAMS
R44 REINFORCE A CHANGE IN PROGRAM PHILOSOPHY

2. ADMINISTRATIVE

W11 SIMPLIFY ADMINISTRATIVE PROCEDURES
W2X INCREASE CONTROL OF LINE PERSONNEL
W3A REDUCE COSTS
W44 INCREASE STAFF CAPABILITY

3. POLITICAL

21T SATISFY CRITICS OF THE AGENCY
22Q PROTECT AGENCY PROGRAMS FROM ENCROACHMENT BY OTHER GOVERNMENT AGENCIES
231 ENHANCE THE POSITION OF THE AGENCY WITH ELECTED OFFICIALS
247 SUPPORT AGENCY DURING BUDGET NEGOTIATIONS

4. PERSONAL CAREER

713 PROVIDE CREDENTIALS FOR CAREER ADVANCEMENT
725 INCREASE ONE'S STATUS IN THE AGENCY OR GOVERNMENT
739 SATISFY A PERSONAL OR PROFESSIONAL INTEREST OR CONCERN
74P PROTECT ONESELF AGAINST CRITICISMS

RANK ORDER OF DECISION CRITERIA

Self

1. _____
2. _____
3. _____
4. _____
5. _____
6. _____
7. _____
8. _____
9. _____
10. _____
11. _____
12. _____
13. _____
14. _____
15. _____
16. _____

Mean Rank

Type R _____

Type W _____

Type 2 _____

Type 7 _____

Co-Participant

1. _____
2. _____
3. _____
4. _____
5. _____
6. _____
7. _____
8. _____
9. _____
10. _____
11. _____
12. _____
13. _____
14. _____
15. _____
16. _____

Mean Rank

Type R _____

Type W _____

Type 2 _____

Type 7 _____

SUMMARY OF DECISION CRITERIA

Managers		Analysts		Decision Criteria
#	Rank	#	Rank	
_____	_____	_____	_____	1. Program
				R1L PROMOTE THE PROGRAM OF THE AGENCY
				R22 PROVIDE BETTER SERVICES TO AGENCY CLIENTS
				R37 ENCOURAGE INNOVATIVE PROGRAMS
				R44 REINFORCE A CHANGE IN PROGRAM PHILOSOPHY
_____	_____	_____	_____	2. Administrative
				W11 SIMPLIFY ADMINISTRATIVE PROCEDURES
				W2X INCREASE CONTROL OF LINE PERSONNEL
				W3A REDUCE COSTS
				W44 INCREASE STAFF CAPABILITY
_____	_____	_____	_____	3. Political
				21T SATISFY CRITICS OF THE AGENCY
				22Q PROTECT AGENCY PROGRAMS FROM ENCROACHMENT BY OTHER GOVERNMENT AGENCIES
				231 ENHANCE THE POSITION OF THE AGENCY WITH ELECTED OFFICIALS
				247 SUPPORT AGENCY DURING BUDGET NEGOTIATIONS
_____	_____	_____	_____	4. Personal Career
				713 PROVIDE CREDENTIALS FOR CAREER ADVANCEMENT
				725 INCREASE ONE'S STATUS IN THE AGENCY OR GOVERNMENT
				739 SATISFY A PERSONAL OR PROFESSIONAL INTEREST OR CONCERN
				74P PROTECT ONESELF AGAINST CRITICISMS

STEP 8

DISCUSSION LEADER QUESTIONS

1. Was there time in the Urban Policy Game to analyze the budget's impact on Metro signs? What were the major uncertainties in the Game? Which could have been clarified by analyzing available data?
2. Did the mayor's staff serve as advocates or as analysts?
3. How will the decision criteria revealed by your co-participant affect the way an issue is defined and analyzed? Limit the alternatives considered? Limit the data sources? Not allow sufficient time for analysis? Produce study that is too much, too late?
4. Was the proposed response to the decision problem political, administrative, personal or programmatic? Was more information required to solve the problem? Political intelligence information? Program "success" information? Definitions of terms such as "adequate"?
5. Were the political relationships in the Game known? Who took the initiative to develop allies for supporting their budget, if anyone?
6. Other than systematic analysis, what techniques can be (have you) used to solve issues facing an organization? Redefine issues? Build coalitions? Delay?

DEVELOPING A POLICY ANALYSIS CAPABILITY

This week you and your co-participant (with help from other attendees) have developed an Issue Paper on a problem of major concern to the agency. Take a few minutes to think about what things back home may contribute to, or hamper your carrying out the study. List these factors below.

FACTORS CONTRIBUTING TO THE POLICY STUDY		FACTORS HAMPERING THE POLICY STUDY
	PRESENT SITUATION	

MODULE 1: THE POLICY ANALYSIS PROCESS

UNIT 2: DEFINING THE PROBLEM FOR ANALYSIS: THE ISSUE PAPER

The Issue Paper is a critical step in the policy analysis process as it serves to clarify the importance of the issue, identify the audience affected, and define the problem in a way which is amenable to research. The decision exercises are designed to familiarize participants with the kinds of questions they need to ask and to encourage interaction between manager and analyst before they begin developing an Issue Paper on a problem of their own. If time is limited the decision exercises can be eliminated.

OBJECTIVES

1. To highlight the unique skills and knowledge the manager and analyst separately bring to the policy analysis process.
2. To introduce participants to the process for defining an issue in a form which is amenable to analysis.
3. To reinforce the requirements for successful policy analysis through an introduction to the Issue Paper components.
4. To increase the participants' awareness of the utility of policy analysis for their agency and the constraints on its use for resolving problems.

CONCEPTS

1. The Issue Paper components reflect the critical dimensions of a problem which must be defined in advance if the analysis is to be useful to the agency: statement of the problem--origin, magnitude, type and reason for interest; parties involved and impacted--relevant actors, audience, and client populations affected; goals and objectives of agency, program or activity affected by the problem; specification of methodological framework for analysis; and alternative solutions to be tested.
2. Issue Paper can serve multiple purposes: as a research design; to clarify choices manager must make; to establish limits to the project; as a planning document for allocating resources; and to minimize goal ambiguity.

3. Manager/Analyst interaction critical to issue definition process because of their unique perspectives and knowledge: manager brings sensitivity to the political and administrative implications of the problem; analyst brings an understanding of the research requirements for addressing the issue.

PROCESS AND MATERIALS

Step 1

An indirect introduction to the first two issue paper components through use of decision exercises. First, participants are divided into small groups (4-6 members) with both managers and analysts but not from the same agency; each group is assigned a scenario and completes Reporter's Format; staff serve as resource people. (Time: 45 minutes) Second, staff lead a discussion of all participants on the conclusions reached by small groups; each group will describe its results and justifications with comments from others; staff should draw distinction between problems amenable to policy analysis and those which are not. (Time: 45 minutes)

- Readings: a. Quade, Analysis for Public Decisions, Chapters 3,5
b. Hatry, et al, Program Analysis for State and Local Government, Chapter III
- Notes: a. Five Scenarios--(1) Probation Supervision; (2) Overtime; (3) Correctional Reorganization; (4) Community Corrections; (5) Jail Standards
b. Discussion Leader Questions for probation supervision, overtime, correctional reorganization, community corrections and jail standards scenarios
c. Managers' Questions - I
d. Analysts' Questions - I
- Forms: a. Defining a Policy Issue: Reporter's Format

Step 2

An indirect introduction to remaining issue paper components through decision exercises. Agency teams are assigned or select one of the scenarios and complete the second reporting form. (Time: 45 minutes) These are then critiqued by the entire group with staff leading the discussion. (Time: 60 minutes)

- Readings: a. Quade, Analysis for Public Decisions, Chapter 6
b. Hatry, et al, Program Analysis for State and Local Government, Chapter III
- Notes: a. Five Scenarios--(1) Probation Supervision; (2) Overtime; (3) Correctional Reorganization; (4) Community Corrections; (5) Jail Standards
b. Discussion Leader Questions for probation supervision, overtime, correctional reorganization, community corrections and jail standards scenarios
c. Managers' Questions - 2
d. Analysts' Questions - 2
- Forms: a. Defining a Policy Issue - 2

Step 3

Introductory lecture by staff describing utility of Issue Paper and discussing an outline of its components. The "Correctional Issues" handout may be used to illustrate problems which are appropriate for policy analysis and those which are inappropriate. (Time: 60 minutes)

- Lecture: a. Issue Paper Introduction
- Notes: a. Description of Issue Paper Components
- b. Issue Paper Review Checklist
- c. Correctional Issues

Step 4

Agency teams develop the first three components (statement of the problem, parties involved and impacted, and goals and objectives of agency, program or activity) of the Issue Paper on a problem specific to their agency. Staff serve as resource people during this part of the process. (Time: 90 minutes)

- Notes: a. Description of Issue Paper Components
- b. Issue Paper Review Checklist
- c. Correctional Issues
- Forms: a. Issue Paper Reporting Form: Components 1-3

Step 5

Each team's Issue Paper Reporting Form is critiqued by other participants serving as a task force. The task force should be limited to no more than five agency teams (ten people), including the team presenting their Issue Paper. If it is necessary to divide the total group, task forces may be created either through random assignment, or grouped according to common elements in the problems they have selected for analysis. Staff should serve as facilitators and resource people rather than as primary critics. (Time: 150 minutes)

- Forms: a. Task Force Review Form: Parts 1-3

Step 6

The session should begin with brief comments by staff elaborating on the purpose and content of the last two components of the issue paper. Each team then completes their issue paper. (Many will wish to revise the first three components in light of the comments they have received.) Staff serve as resource people. (Time: 90 minutes)

- Readings: a. Quade, Analysis for Public Decisions, Chapter 2
b. Hatry, et al, Program Analysis for State and Local Government, Chapter III
- Notes: a. Issue Paper Review Checklist
- Forms: a. Issue Paper Review Reporting Form: Components 4-5

Step 7

A critique of each team's issue paper focussing on identifying problems which may arise in carrying out the analysis and possible solutions. The format should be the same as in Step 5. Staff should serve as facilitators and resource people rather than as primary critics. (Time: 150 minutes)

- Readings: a. Quade, Analysis for Public Decisions, Chapters 8, 14, 18
b. Hatry, et al, Program Analysis for State and Local Government, Chapters V-VI
c. Pirsig, Zen and the Art of Motorcycle Maintenance, pp. 90-95; 238-48; 251-63
- Forms: a. Task Force Review Form, Parts 4-5 and General Evaluation

STEP 1

PROBATION SUPERVISION
SCENARIO

LEAA funding for an intensive juvenile probation supervision program is going to run out in six months. Juvenile probation is a state responsibility. The intensive supervision program is operating as a demonstration project in the most urbanized county in the state. The principal behind the program has been to provide a broad range of services -- e.g., psychological counseling, medical attention, welfare services, and job training -- for a small number of juveniles labeled incorrigible by the courts, and the same services for all members of their families. The program has been in operation three years and a decision must now be made whether the state will assume responsibility for funding. A formal evaluation procedure was made a condition of the original LEAA grant. Information has been collected over the three year period to that end but no analysis has taken place. The information assembled includes: a detailed breakdown of client characteristics; lists of all referrals made to private vendors; total number of contacts of staff with each client and his family; detailed diaries of daily activities by probation officers for the first three months of the grant (these were a condition of the grant but were discontinued after three months because they were too time consuming); and a folder of newspaper clippings from the local press. There is considerable resentment among the rest of the probation office staff against those involved in the program. Although the program personnel are part of the civil service schedule, they are viewed as having more resources and operating with less supervision than anyone else. On the other hand, the special unit has identified major new sources of services which all probation officers have drawn on for the regular agency clientele.

You have been asked to design a research project which will evaluate the program. First, identify the questions you think ought to be raised about the program in the evaluation. Second, briefly indicate the kind of data likely to be available to answer each one.

OVERTIME SCENARIO

The State Department of Corrections has just submitted its FY 1978 budget request to the legislature. The major departure from recent years' requests (which have been relatively unchanged), is a 50% personnel increase, both in institutional and field services staff. DOC claims the institution staff are needed to reduce overtime and the field services staff are vital to better utilize community resources such as employment, education, vocational training, mental health services, etc. This request was approved by the state "watchdog" agency of Administration and Finance. It is now being reviewed by a member of the House Ways and Means Committee, who is an activist on civil rights and environmental issues, voted for E.R.A. and was just elected to a second term. He recognizes the importance of A & F approval and feels that overtime usage is "penny-wise and pound-foolish." However, he is concerned about the connection between the DOC's staffing request and the justifications offered in the budget narrative (essentially as stated above).

How might one determine the best alternative for handling the need for additional staff resources (use of overtime with existing staff, hiring a 50% increase in personnel, or some mix of the two, some other alternative, etc.)? How would these results be limited by their political "palatability" (and concomitant usefulness in the budget justification process)?

CORRECTIONAL REORGANIZATION
SCENARIO

The Legislature has just passed an Executive Reorganization Act. Since it closely follows the details of the Governor's original proposal he is expected to sign it into law. All agencies are to be grouped into seven major departments including a Department of Human Services and a Department of Corrections. At present there are 83 agencies reporting directly to the Governor. The Department of Corrections will not be affected directly by the Act as it was created three years ago by grouping all adult field and institutional services into a single agency. Since that time the Commissioner of Corrections has been successful in asserting central control over the three prisons, upgrading the personnel system including training requirements and pay scales, and increasing the budget for the department. A major theme in the Governor's message accompanying the reorganization proposal was the need for greater coordination among the social service agencies (including corrections), and less duplication. In addition, he views the reduced number of agencies reporting directly to him as a means of enhancing his control. The reorganization will take place in six months.

What should be the Corrections Department response, if any, to this change in the Executive branch of state government?

Specify the questions which should be asked, the benefits and liabilities involved in the change, and the ability of the department to respond.

COMMUNITY CORRECTIONS
SCENARIO

The Governor of your state held a press conference last week to release a report of The Citizens Advisory Group on Corrections. The CAGC acknowledges the substantial progress made over three years by the department in increasing the proportion of offenders in some community programs (probation, parole field services). Nevertheless, they criticize the Administration for "not providing adequate work release and halfway house programs." The Governor announced that the head of corrections had been directed to undertake a thorough analysis of the situation and make recommendations in 90 days on what will be done. However, he stated: "A reasonable, preliminary goal is a 15 percent increase in the proportion of persons in work release and halfway houses over the next three years."

Discuss how you would approach this problem. Focus specifically on what the problem is, how it arose and the department's capability to respond.

JAIL STANDARDS SCENARIO

Local city and county jails have recently become a major news item in your state. Publicity about the possibility of federal intrusion into state affairs with regard to conditions in jails, and other institutions such as homes and hospitals for the elderly, children and retarded persons has stirred several state legislators. The legislators are cognizant that a federal intervention into any of these institutions will be extremely costly, since the conditions in many state and local facilities are known to be poor.

Legislators are aware that a large proportion of the local jails are far below generally accepted minimum standards. However, spending for correctional institutions is a low priority. Public concern about children and the elderly is much greater. Moreover, election time is not far off and no legislator wants his or her name attached to cries for costly jail reform, which may be construed as creating "hotels" for inmates.

A Jail Study Commission has been created to devise minimum state standards. Although it has not been articulated, one objective of the Commission is to provide "hedging time" through the next election. You have accepted a job as the Jail Study Commission staff analyst and researcher. Formerly a legislative analyst who has attempted to help the Department of Corrections increase their budget appropriations, you are well informed and committed to helping improvements occur. You also feel federal intrusion would cost the state a far greater amount than is necessary to improve conditions in local jails. The changes mandated by federal courts require massive building, whereas most of the problems can be solved by a renovation program.

How should the Jail Study Commission proceed? What analysis and/or research will you plan to meet the Commission's needs? How could you reconcile your commitment to improving conditions and avoiding federal intrusion?

DECISION PROBLEM--
PROBATION SUPERVISION

1. What decision is being informed?
 - Program continuation?
 - Program scale?
 - Lessons for other programs?
 - Program improvements?
2. Who needs the information?
 - Governor, legislature, administrator? Others?
 - Are judges important? Probation officers?
3. How will the results be used?
 - As one of several inputs?
 - As justification for previously determined outcome?
 - To inform changes in the program?
4. What can be evaluated about the program?
 - Success or failure?
 - Relative effectiveness?
 - Efficiency?
 - Products intended and unintended?
 - Just a description of effects? Or objectives?
 - Clarification of goals?
5. Are the data sufficient for the task?
 - Contamination
 - "Hard" versus "soft" data
 - Relationship between data and objectives

DECISION PROBLEM--
OVERTIME

He so states in a memorandum to the DOC Commissioner, requesting fuller explanation. The Commissioner routes the memorandum to you.

1. Who will be interested in the product?
 - Ways and Means
 - Governor
 - Community groups
 - DOC personnel
 - A & F
2. What is the task at hand?
 - To satisfy the Ways and Means Committee
 - To maintain DOC prerogatives
3. What should be the nature of the product?
 - Technical study
 - Expanding budget narrative
 - Description of community services
 - Task force report and endorsement
4. How did this problem arise?

DECISION PROBLEM - REORGANIZATION

1. Who will be interested in the results?
 - Commissioner
 - Governor
2. What is the analytical task?
 - Features research
 - Experiences of others
 - Secondary analysis rather than primary
3. Character of the product?
 - Advisory memo
 - Political liabilities
 - Administrative implications
4. What decision is being informed?
 - No immediate choice; possible future choice
 - Anticipatory monitoring system
 - Compensatory action such as potential threats of change to morale, budget, program jurisdiction, etc.

DECISION PROBLEM--COMMUNITY CORRECTIONS

1. How was the CACC "criticism" arrived at?
 - Underlying philosophy, data?
 - Participants in decision?
 - What is "adequate"?
 - Is it consistent with the "substantial progress" claim?
2. Why did the Governor accept the "criticism"?
 - Interest groups supporting decision?
 - Persuasive arguments in the report?
3. Why did the Governor set out a "preliminary" goal?
 - Pressure on department?
 - Appearance on being in-charge?
 - Report made recommendation?
4. What can be done in 90 days?
 - What will Governor want?
 - What will CACC accept?
 - How much data should be in the department's response?
 - What should the Commissioner do during the 90 day period?
5. What should the department's recommendation look like?
 - Modify the 15% goal? Up? Down?
 - State a standard on what is "adequate"?
 - Specify who (Commissioner, Governor, legislature, etc.) must make what decisions (money, methods, risk, etc.)

DECISION PROBLEM--
JAIL STANDARDS

1. What is the origin of the problem?
2. How does the origin affect the role of the analyst?
3. Who are the members of the audience for your work?
4. What resources are available for carrying out the task?

MANAGERS' QUESTIONS - 1

Can the agency (me) make a decision on this issue?

How will staff react to any decision?

Will there be a change in the way things are done?

What decisions have been made already that limit what we can do?

Who made the decisions that may limit what we can do?

How does this issue affect our budget request?

Will the governor, mayor or other chief executive be very interested in what we decide?

What organizational units will be involved in carrying out a study?

How many units within the agency are possibly contributing to the problem?

Can I wait?

Is the problem costing money?

Will taxpayers be interested in the issue?

Should we even be involved in attempting to solve this problem?

Who did it?

Who cares?

How long has this problem been around?

Did it used to be only an "aggrevation"?

Has anyone else tried to resolve the issue?

ANALYSTS' QUESTIONS - 1

Why is this considered a problem or issue?

What are the prospects that our agency can do something?

Will it serve any purpose to do something?

Who did it?

Did the problem "sneak up" on us?

Is there a lack of coordination?

Who cares?

What chain of events led up to the problem?

When was the issue first recognized?

Has anyone else dealt with this kind of problem?

Who might be important in helping shed some light on the issue?

How are budgetary factors or the budget process related to the problem?

Who is affected by the issue?

Are there agency procedures that seem to aggravate the problem?

What information, documents, studies might give some clues?

Why do we need to bother with this issue now?

DEFINING A POLICY ISSUE

REPORTER'S FORMAT

Please note the major points made during your group discussion in the format below. You will be asked to summarize the discussion for all participants.

What seems to be the issue confronting us in the scenario. Describe it briefly: what can be inferred about its history, and how the problem arose?

Why is this issue receiving attention? Does it merit it? Is the issue being addressed the right one--does it get at the core of the problem?

What is the magnitude of the issue? How many organizations, agencies and persons might be affected (positively or negatively) and to what degree?

Name of Decision Problem

STEP 2

MANAGERS' QUESTIONS - 2

How soon will the study be done?

Will some judges be interested in the study?

How can any study recommendations be included in the next budget cycle?

Will the analysis be completed by the person who starts it?

Should someone outside examine the study's findings?

Where will data for the study come from?

What can the organization gain by doing this particular study?

How likely is it that legislative changes will be suggested by the analysis?

Who will review the study's recommendations?

Should I informally tell certain elected or appointed officials that we are doing a study?

How did I use the last report prepared in-house?

ANALYSTS' QUESTIONS - 2

What studies have been done by your agency that may shed some light on the issue: legal memoranda, budget analyses, organizational study, statistical reports, evaluation, accounting reports?

Do certain portions of the problem impinge on a specialized area such as health care, engineering, management information systems, industrial organization, statistics, transportation, architecture, law, organizational psychology, economics, etc.?

Have you read any articles, books, reports, or newspapers recently that mentioned something (even in passing) about a situation like we face?

Can this issue be solved by changing program or administrative procedures?

Who has the most to lose if this problem persists?

How much data will be collected?

What was the reaction of executive management to any recent documents such as a long-range plan, evaluation studies, annual statistical report, field office budget requests, population projections, etc.?

Will your study of the problem encounter resistance from field employees or headquarters staff?

Was your last work product of analytical nature disseminated within the agency?

Who might gain something by allowing the problem to continue?

Is there time to analyze the issue?

Who is unlikely to provide information freely.

Do I know anyone who might be knowledgeable in some aspect of the problem?

Will some persons oppose the study's report even without reading it?

Who should I contact for information?

Will possible solutions require reorganization?

DEFINING A POLICY ISSUE - 2

MANAGER/ANALYST REPORTING FORMAT

Earlier, workshop groups discussed some typical correctional problems regarding community corrections, institutional locations, overtime, reorganization, jail standards and intensive probation supervision. Review their reports and select one of the subjects that approximates a situation actually faced by your agency at some time or one you can reasonably imagine happening. Modify the report, as necessary, to make it more applicable to your situation (e.g., add names, numbers, specific objectives); then, discuss the following questions as they relate to the problem you selected.

What agency objectives does this problem impact on? Are there other programs or activities related to this objective(s) that contribute to the problem? What information or data do we have that indicates how well we are doing?

How can we approach this problem? What information (cost, outcome, operational, etc.) will help us decide on a solution? What methods might be used?

What may be some of the ways this problem could be attacked? What steps would be necessary to carry out one of these solutions? How much time will it take to improve the situation?

Name of Decision Problem

STEP 3

ISSUE PAPER INTRODUCTION

I. DEFINITION OF A PROBLEM FOR STUDY CRITICAL TO THE POLICY ANALYSIS PROCESS.

- A. Must take into account political and administrative constraints as well as analytical requirements.
 - 1. Difficult to integrate the two.
 - 2. Political/administrative define the objectives of the study.
 - a. Provide the decision orientation.
 - 3. Analytical define the research requirements.
 - a. What data are needed.
 - b. The resources required.
- B. Need to determine early whether issue is amenable to analysis.
 - 1. Problem may be political or managerial.
 - 2. Project may be beyond agency capabilities.

II. ISSUE PAPER IS A TECHNIQUE FOR RESOLVING THESE QUESTIONS EARLY IN THE PROCESS

- A. Force manager and analyst to clarify their assumptions.
 - 1. As to why they are doing the project.
 - 2. The audience for whom it is intended.
 - 3. The goals and objectives of the agency it is expected to promote.
 - 4. The methodology involved.
 - 5. The expected results.
- B. Going through this in advance may minimize later problems.
 - 1. Can you live with negative results?
 - a. What if community programs cost more?

2. Are the data likely to be available?
 - a. Are population projections dependent on information from the judiciary?
3. Is the product relevant for the intended audience?
 - a. They do not care how "effective" community programs are; criminals are bad people who must be punished.
4. Is objective a high enough priority in agency to warrant the investigation?
 - a. Ostensible goal of agency is to provide services to probationers but in practice the primary goal is to keep the judges happy.
5. Will the principal alternatives be considered?
 - a. May be many ways to improve jails but minimum standards is the only one with broad support.

III. FIVE PARTS TO ISSUE PAPER

A. Statement of the problem.

1. This may begin as vague concern or as a series of events which may require attention:
 - a. Legislator complains about excessive overtime.
 - b. Feeling by commissioner that they are not doing enough with community corrections.
 - c. Find community resource management approach to probation appealing but wonder about its effectiveness.
2. Determine if issue is amenable to analysis.
 - a. That is, are you assessing effectiveness of alternative means, or determining what objectives ought to be promoted?
3. Determine general scope of the problem.

B. Parties involved and impacted.

1. Translates purpose of the study into more specific terms.
2. Be selective; do not try to list everyone who might be affected but only the principal actors.
3. Manager must play a major role here because of his knowledge.
4. Laying out actors identifies some of the political risks in doing the study.

C. Goals and objectives of agency, program or activity.

1. These are the outcomes which means are trying to achieve.
2. In some cases identifying agency priorities may satisfy the problem.
 - a. E.g., budget reduction.
3. Interactive process absolutely necessary.
4. Try to be as specific as possible.
 - a. Indicate how goals and objectives may be impacted by the means.

D. Methodology

1. Will be general at this point.
 - a. But, begin to anticipate the analytical requirements to resolve issue.
 - b. Choice of methodology also suggests difficulty of tasks involved.
 - c. Be as specific as possible.
2. Choice of analytical frameworks.
 - a. Qualitative--legal; logical inference; simulation; delphi; historical review.
 - b. Quantitative--regression; cost analysis; mathematical modeling; operations research.
 - c. A lot of things in between--long range planning; futuristic forecasting; program/process monitoring.
 - d. Will probably use combination of techniques.
 - e. Begin to anticipate resources available.
3. Data requirements.
 - a. Secondary--reports; tables; selected interviews.
 - b. Primary--expenditures; surveys; clients records.
 - c. Related to analytical framework.
4. More quantitative, more precise estimate of probability of error.
 - a. But may also narrow the scope of project too much to be useful.

b. Also, increases time required to carry out project.

E. Alternatives

1. Estimate probable outcomes.

- a. Forces you to make assumptions explicit.
- b. Can you live with negative results?

2. Be as exhaustive as possible.

- a. Include rough estimate of probability of each alternative being supported--high, medium, low.

3. Identify possible solutions given the alternative outcomes--political, administrative, budgetary, legal.

IV. ISSUE PAPER PARTS LAID OUT IN SEQUENCE BUT PROCESS IS ITERATIVE.

A. May move from issue to alternatives and then to audience.

B. Audience likely to be revised by goals and objectives.

DESCRIPTION OF ISSUE PAPER COMPONENTS

1. STATEMENT OF THE PROBLEM

Initially, a clear description of the problem or issue in question should be stated. At the outset, determine if it is a problem that analysis will help solve.

- 1a. Origin: Indication of the problem's origin may include discussion of how it arose and previous decisions that created it. What are the causes of the problem, and to what extent are these known -- or may they be discovered?
- 1b. Magnitude: How widespread is it now and can it be expected to grow or decline in the future? If it appears to be symptomatic of a larger problem, what is that? Are there sufficient resources to address the entire issue?
- 1c. Type: Primarily, is it a problem of operational efficiency, allocation of resources, program or activity evaluation, planning and budgeting, strategy, or choice? Does it have administrative, legal, organizational, budgetary or regulatory implications?
- 1d. Reason for interest: Problem statement should justify studying it and spending limited public funds. Will a solution contribute to an outcome or decision? Does it matter, how much, and to whom?

During the problem statement, the scope of the analysis starts to be determined. The scope will, however, be affected by component (3) as well: goals and objectives specification. (Methodological framework, component (4), will also delimit the analysis as data assessments and resource availability are determined.) Realistically, scope may be altered as the study is performed, when data limitations and greater familiarity with the problem become apparent, thus altering the analysts' understanding of the situation. However, although problem definition, study scope and goals and objectives articulation are an interactive, ongoing process, the initial problem definition and entire issue paper development cannot be circumvented. Revisions are realistic and the analytic planning process is not static; but a carefully conceived issue paper is essential to assure a comprehensive study design and relevant research product.

2. PARTIES INVOLVED AND IMPACTED

All the following components may not be relevant for every agency study, or they may overlap. However, an attempt should be made to address each.

- 2a. Relevant actors: What are the government agencies or other organizations concerned with various aspects of the issue or problem?
Rank these -- list the aspects or characteristics of the issue or problem and the organizations involved with each in order of descending importance. Additionally, identify any negative effects that may possibly occur to other government agencies or programs.
- 2b. Audience (decision-makers): Since this is an action-oriented effort, who is it intended to inform? For what decision? Does this audience believe the problem or issue indicated in (1) is a problem? Will the decision ultimately be referred to someone higher up? Who is that?
- 2c. Client populations affected: Identify the target groups or institutions which the problem solution is intended to affect. Will this entire population be impacted similarly, or might some be affected more than others? Are there any other groups who may be beneficiaries or negatively impacted by a decision on this problem?

3. GOALS AND OBJECTIVES OF AGENCY, PROGRAM OR ACTIVITY

A concise, comprehensive statement of goals is a useful way to enumerate and prioritize objectives. Goals are more abstract and reflect the agency or program mission. Objectives are the translation of goals into operational activities: they are more specific, output-oriented, and as varied as the agency's and program's functions. Conceptualization of goals and objectives is not static and should involve several people in their articulation and resolution. Goals and objectives specification may be difficult, time-consuming, and subject to further evolution and refinement. However, it is imperative that they are carefully chosen, described, and operationalized since all other issue paper and analytic design components are derived from them; particularly, determination (and eventual development) of methodological framework, and generation of alternatives.

- 3a. Possible measures of effectiveness/success for Goals and Objectives: If objectives cannot be completely operationalized, measures must be derived to determine the degree to which the objectives are achieved. Effectiveness measures are directed at outputs, capabilities or results. Ideally they should be quantifiable. Proxies -- measurements of alternative indicators which are quantifiable and indirectly reflect the effectiveness and successfulness of objectives or activities -- may also be used. Since all measures will not be equally accurate, criteria for judging them should be kept in mind. It may be useful to rank the measures with respect to how they meet criteria for accuracy and objectivity. What are the assumptions upon which these measures, proxies and criteria are predicated?

4. SPECIFICATION/DESCRIPTION OF METHODOLOGICAL FRAMEWORK FOR ANALYSIS

A tentative description of the kind of analysis that will be performed is sufficient here. Rather than elaborate on a detailed methodology, consider which mode of analysis would elucidate the problem. Data assessment and resource availability will ultimately determine the complexity of the analysis performed. Will the product resulting from this analysis contribute to the informed decision-making of those indicated in (2a)? What major assumptions will be necessary to perform the analysis?

5. ALTERNATIVES

These are the set of events or possibilities, one of which may be chosen to solve the problem or suggest some other solution to the decision-maker. They should address the question: What does the decision-maker ultimately want to accomplish?

- 5a. Generic kinds of alternatives: What might a decision-maker do to attempt to solve the problem? Should a solution be primarily administrative, legal, organizational, budgetary, regulatory . . . ? Or some combination of these? At what level of impact should alternatives be devised? Do these kinds of alternatives apply to the problem definition in an appropriate way? What should the solution look like to be acceptable?
- 5b. Specification of possible alternatives: Enumerate by the types listed in (5a) being as exhaustive as possible. At this point it is unnecessary to describe combinations of alternatives that may be viable, or pay undue attention to

CONTINUED

1 OF 5

the political realities of the situation. Rather, a thorough listing of all possible outcomes is needed, which expert judgment may later weigh, compare, extract from and choose.

- 5c. Tentative recommendations resulting from these alternatives: Here the analyst gets an opportunity to indicate his or her preferences and judgments. What would you do if you were the decision-maker? If you feel strongly about a particular alternative, this is where to describe your opinions.
- 5d. Other considerations/constraints: To the extent variables "extraneous" to systematic analysis cannot be ignored, even from a perspective attempting to be as objective as possible: What are they? What risks and uncertainties are attached to the alternatives previously described (and/or recommended)? Are there social, moral, legal, budgetary, administrative, or organizational constraints? Are certain alternatives totally infeasible from a political perspective? Without previously delimiting the issue paper's preparation, the analyst now places the objective analytic scheme thus developed in "real-world" perspective.

ISSUE PAPER REVIEW CHECKLIST

A. STATEMENT OF THE PROBLEM

1. Why is this considered a problem or issue?
2. What are the prospects that our agency can do something?
3. Will it serve any purpose to do something?
4. Who did it?
5. Did the problem "sneak up" on us?
6. Is there a lack of coordination?
7. Who cares?
8. What chain of events led up to the problem?
9. When was the issue first recognized?
10. Has anyone else dealt with this kind of problem?
11. Who might be important in helping shed some light on the issue?
12. How are budgetary factors or the budget process related to the problem?
13. Why do we need to bother with this issue now?
14. Who is unlikely to provide information freely?
15. What decisions have been made already that limit what we can do?
16. Who made the decisions that may limit what we can do?
17. How does this issue affect our budget request?
18. Can I wait?
19. Is the problem costing money?
20. Should we even be involved in attempting to solve this problem?
21. Who did it?
22. Who cares?
23. How long has this problem been around?
24. Did it used to be only an "aggrevation"?
25. Has anyone else tried to resolve the issue?

B. PARTIES INVOLVED AND IMPACTED

1. Who did it?
2. Is there a lack of coordination?
3. Who cares?
4. Who might be important in helping shed some light on the issue?
5. Who is affected by the issue?
6. What information, documents, studies might give some clues?
7. Who has the most to lose if this problem persists?
8. What was the reaction of executive management to any recent documents such as a long-range plan, evaluation studies, annual statistical report, field office budget requests, population projections, etc.?
9. Will your study of the problem encounter resistance from field employees or headquarters staff?

10. Was your last work product of analytical nature disseminated within the agency?
11. Who might gain something by allowing the problem to continue?
12. Who is unlikely to provide information freely.
13. Do I know anyone who might be knowledgeable in some aspect of the problem?
14. Will some persons oppose the study's report even without reading it?
15. Who should I contact for information?
16. Can the agency (me) make a decision on this issue?
17. How will staff react to any decision?
18. Will the governor, mayor or other chief executive be very interested in what we decide?
19. What organizational units will be involved in carrying out a study?
20. How many units within the agency are possibly contributing to the problem?
21. Will taxpayers be interested in the issue?
22. Who did it?
23. Who cares?
24. Who will review the study's recommendations?
25. Should I informally tell certain elected or appointed officials that we are doing a study?
26. How did I use the last report prepared in-house?

C. GOALS AND OBJECTIVES OF AGENCY, PROGRAM OR ACTIVITY

1. Are there agency procedures that seem to aggravate the problem?
2. Can this issue be solved by changing program or administrative procedures?
3. Is there time to analyze the issue?
4. Will possible solutions require reorganization?
5. Will there be a change in the way things are done?
6. How soon will the study be done?

D. SPECIFICATION/DESCRIPTION OF METHODOLOGICAL FRAMEWORK FOR ANALYSIS

1. What studies have been done by your agency that may shed some light on the issue: legal memoranda, budget analyses, organizational study, statistical reports, evaluation, accounting reports?
2. Do certain portions of the problem impinge on a specialized area such as health care, engineering, management information systems, industrial organization, statistics, transportation, architecture, law, organizational psychology, economics, etc.?

3. How much data will be collected?
4. Is there time to analyze the issue?
5. Who should I contact for information?
6. How soon will the study be done?
7. Will the analysis be completed by the person who starts it?
8. Where will data for the study come from?

E. ALTERNATIVES

1. Have you read any articles, books, reports, or newspapers recently that mentioned something (even in passing) about a situation like we face?
2. Will possible solutions require reorganization?
3. Will some judges be interested in the study?
4. How can any study recommendations be included in the next budget cycle?
5. Should someone outside examine the study's findings?
6. What can the organization gain by doing this particular study?
7. How likely is it that legislative changes will be suggested by the analysis?

CORRECTIONAL ISSUES

PLANNING AND DEVELOPMENT ISSUES

1. Development of rational average length stay policy as a function of offense history, youth needs, bed space, budget limitations and public perceptions
2. Development and institutionalization of planning in DOC
3. Development of county-wide community corrections
4. Effective planning given an annual budget cycle and the time lapse requirement for evaluating correctional programs
5. Development of standards
6. Responsibility of corrections in rehabilitation
7. Meeting correctional institution minimum standards
8. Policy analysis of regional correctional centers as opposed to large, traditional institutions
9. Standardized definition of recidivism
10. Development and institutionalization of an on-going planning process in DOC
11. Involvement of research and planning in top policy making decisions
12. Conflicts between law and corrections functions as they relate to research that indicates incarceration, length of stay and severity of punishment are negatively related to social order
13. Legislative mandates to assess program costs to parents of juveniles receiving residential and non-residential services from the state agency responsible for delinquency
14. Autonomy vs. regionalism
15. Delinquency prevention strategy
16. Long range program planning

17. Overcrowding
18. Public apathy
19. Development of guidelines to structure discretion
20. Long range capital planning
21. The intake service center is conceived in the new Correctional Master Plan as the central component of the state criminal justice system
22. Model for criminal justice and corrections planning and coordination on county or regional level

ECONOMIC AND COST ISSUES

23. Use of inmate labor and correctional industries to subsidize institutions
24. Cost-benefit analysis of contractual vs. permanent personnel for specialized treatment facility
25. Analysis and evaluation of service brokerage as a probation model
26. Allocation of resources between areas without making substantial budget increase requests
27. Cost benefit analysis of intensive service for early intervention vs. "late" (concentration upon serious offender) intervention
28. Impact (economic and programmatic) on the human services delivery system of increased diversion and referral of system clients
29. Cost-benefit implications of initiating a policy of (1) long range planning (2) comprehensive management information systems (3) comprehensive evaluation of program effectiveness
30. Cost-effectiveness of community corrections
31. Cost-benefit of proposed community corrections programs
32. Cost-benefit of purchasing services from community based groups
33. Lack of adequate funding (need for social workers)

34. Alternative funding sources for correctional services
35. Cost-benefit analysis of prison academic programs
36. Choices of a funding mixture with the ramifications relating to accountability of the State, HEW, LEAA, Manpower and other sources
37. How best can the Division provide economic incentives to local communities to divert juveniles from the state system?

ORGANIZATIONAL AND ADMINISTRATIVE ISSUES

38. Contracting for auxillary services (medical, food)
39. Staffing analysis methodology
40. How to establish a system of accountability
41. Training of middle management
42. Allocation of manpower to ensure efficient and effective coverage
43. Criteria and standards for adult probation and parole staffing and budgeting
44. Coordinating state programs with those of county probation departments
45. Internal control of budget by DOC vs. control by budget department
46. How to best administer research and evaluation to assist program staffing, decision making
47. Policy analysis for "different administrative environments"
48. Transfer administrative responsibility of community corrections from Bureau of Institutions to Bureau of Probation and Parole
49. Statewide state probation system in executive branch of government
50. Personnel training and career development
51. Need for interdivisional fiscal and management systems
52. Staffing pattern analysis for all programs
53. Establish a personnel policy that will discourage unions

54. Time and attendance
55. Establish a MIS that will improve the overall effectiveness and productivity for the Department
56. Development of decentralized budget planning and execution
57. Development of departmental management and manpower survey teams
58. Difficulty in coordinating efforts among agencies to avoid duplication of services
59. Alternative staffing patterns
60. State assumption of local correctional facilities

PROGRAM ISSUES

61. Phased implementation of a "free-venture" industries model--economic cycle analysis
62. Analysis and evaluation of service brokerage as a probation model
63. Treatment of juvenile learning disabilities
64. Analysis of the need for a sentence revision
65. Impact (economic and programmatic) on the human services delivery system of increased diversion and referral of system clients
66. Client population--mixing ages and backgrounds (adult-juvenile)
67. How should parole-aftercare best be provided?
68. Establish long-term service contracts
69. Increase consumer and community involvement in program input
70. Programmatic impact of de-institutionalization
71. Effectiveness of probation as a crime deterrent
72. Mandatory pre-sentence investigations on all convictions
73. (Need for campus educational facilities)
74. Establish a standard question by which Department classifies offenders

75. Development of improved mechanisms to provide technical assistance to probation organizations covering type, death and cost focusing upon encouraging and fostering internal planning by probation officers
76. Rational reduction of services of a department that for 5 years prior has experienced explosive growth and program expansion
77. Need to update and upgrade in-jail vocational programs according to local market realities
78. Vocational education--correctional industries--pre-employment training
79. Caseload management: concentrate time on cases which will benefit most
80. Probation--executive vs. judicial function

Source: Selected from Applications For Program in Correctional Economics and Policy Analysis.

STEP 4

ISSUE PAPER REPORTING FORM

1. [STATEMENT OF THE PROBLEM]

- 1a. Origin
- 1b. Magnitude
- 1c. Type
- 1d. Reason for Interest

2. [PARTIES INVOLVED AND IMPACTED]

- 2a. Relevant Actors (agencies, organizations)
- 2b. Audience (decision-makers)
- 2c. Client populations affected

3. [GOALS AND OBJECTIVES OF AGENCY, PROGRAM OR ACTIVITY]

- 3a. Possible measures of effectiveness/successfulness for goals and objectives.

STEP 5

TASK FORCE REVIEW FORM

1. PROBLEM STATEMENT

Is the problem clearly stated? Can risks of doing it be calculated?
Is scope implied by statement? How immediate is the issue raised?
How will it be resolved?

2. PARTIES INVOLVED AND IMPACTED

Are opponents as well as supporters identified? Are potential
interests identified, that is, those individuals or groups who may
become interested in the issue later?

3. GOALS AND OBJECTIVES

Are the objectives and goals clearly stated and tied to statement of
the problem? Are the priorities made clear? Is the list complete or
are there others which should be considered?

STEP 6

ISSUE PAPER REPORTING FORM

4. SPECIFICATION/DESCRIPTION OF METHODOLOGICAL FRAMEWORK FOR ANALYSIS

5. ALTERNATIVES

5a. Generic kinds of alternatives

5b. Specification of possible alternatives

5c. Tentative recommendations resulting from these alternatives

5d. Other considerations/constraints

STEP 7

TASK FORCE REVIEW FORM

4. METHODOLOGICAL FRAMEWORK

Are the methodologies appropriate to the problem as defined? Too complex? Too simple? Are there additional methodologies which might be useful?

5. ALTERNATIVES

Have the political, administrative, and programatic implications of the research been recognized? Is the project designed to produce one answer or several alternatives? Do the results follow logically from the problem and methodology specifications? Have potential constraints been taken into account?

GENERAL EVALUATION

1. Is the problem amenable to analysis?
2. Are resources available?
3. How will the results be used?

MODULE 1: THE POLICY ANALYSIS PROCESS

UNIT 3: RESEARCH MANAGEMENT

This unit provides assistance in translating a defined problem area into a research project. Participants learn to set study objectives, determine study scope and to perform task analysis and scheduling. Time and physical resources are introduced as limiting factors which must be considered in preparing a workplan which will result in a timely and relevant finished product. Data needs and sources are discussed and a format for arraying these is presented. A case study is available which reinforces skills necessary to develop a workplan from a completed issue paper.

OBJECTIVES

1. To introduce the workplan and its components (objectives, scope, tasks, resources and schedule) as a necessary tool in translating researchable issues into research activities.
2. To provide a working experience with Objective 1 (case study) in order to reinforce needed skills.
3. To familiarize managers and analysts with data requirements, data sources and their roles in the study process.
4. To complete an agency workplan for an issue defined earlier by a manager-analyst team.

CONCEPTS

1. Setting Study Objectives: The Issue Paper outlines agency objectives and background which must be translated into research terms; objectives must be specifically defined, measurable, and attainable within the study time frame (by undertaking a study rather than resorting to political maneuvering or value choices).
2. Determining Study Scope: The definition of the problem and the research activity undertaken must be limited by the character of the audience for which the study is intended; the analytical techniques which will be used; the availability of such resources as data, personnel, time and budget; and the products expected, e.g., a formal report, brief memo, computer program, etc.

3. Study Tasks, Resources and Schedule: Tasks should align with study objectives and should be specific. The major resources--time, persons, computer time, etc.--necessary to accomplish them should also be stated as specifically as possible. A schedule of major tasks and milestones is usually helpful in monitoring the study effort.
4. Data Needs and Sources: Data are not always available in straightforward, ready-to-use fashion. Outlining data needs and possible sources help delimit the study and aids in task analysis.

PROCESS AND MATERIALS

Step 1

Introductory lecture describing workplan components. (Time: 15-20 minutes)

- Lecture: a. Introduction to Workplan
Notes: a. Workplan Outline I
b. Workplan Outline II

Step 2

Definite Sentencing Case Study (2). Individuals read an Issue Paper completed for definite sentencing and develop a workplan. This may be debriefed as a group. The objective is to relate construction of the workplan to the issue as originally defined and to keep the two consistent. (Time: 60-90 minutes depending on the number of workplan components used.)

- Readings: a. Definite Sentencing Case Study - II
Notes: a. Definite Sentencing Issue Paper
b. Definite Sentencing: Workplan Tasks and Resources; Schedule
c. Definite Sentencing Case Study: Proposal Model
d. Task Analysis
Forms: a. Blank Workplan Forms

Step 3

Participants develop a workplan, based on their own Issue Paper. Manager/analyst teams work individually (staff serve as resources). (Time: 60 minutes)

- Notes: a. Completed Issue Paper
Forms: a. Workplan: Objectives and Scope
b. Workplan: Tasks and Resources
c. Workplan: Schedule

Step 4

Task Force Review (optional). Participants critique each other's workplan,

based on its relationship to the issue paper. Focus is on identifying problems which may arise in carrying out the study. The critique should be done in small groups involving four or five participant teams, run either by (a) staff serving as primary critics; or (b) other participants with staff serving as outside resource people. The latter is the preferable option. (Time: 120 minutes)

Step 5

Data and Information Needs Lecture. Describes reasons for organizing data and provides pointers on where, when and how to obtain data. (Time: 20 minutes)

Lecture: a. Data and Information Needs

Step 6

Using the Data Source Worksheet (optional). Participants work as teams, and preliminarily fill out a data/source form. (Time: 45 minutes)

Forms: a. Complete Workplan
b. Data Source Worksheet

STEP 1

WORKPLAN

- I. WORKPLAN: Translation of Issue Paper into research and analysis plan.
 - A. Principal research management tool
 - B. Sets study limits
 - C. Provides a monitoring device, keeps study "on track"
- II. FIVE MAJOR COMPONENTS:
 - A. Objectives
 1. Study objectives
 2. Relate to agency goals and objectives from Issue Paper
 - B. Scope
 1. Limits of study
 - a. Cross-sectional vs. longitudinal
 - b. Time period
 - c. Population size (sampling)
 - d. Factors to be examined
 2. Analytical techniques
 - a. Types of techniques (economic, legal, etc.)
 - b. Descriptions vs. analysis
 3. Tied to objectives; may require redefining and/or going back to Issue Paper
 - C. Tasks
 1. Major study tasks, but with some detail
 - a. Data collection tasks
 - b. Management tasks
 - c. Analytical tasks
 - d. Report preparation
 2. Can link directly to objectives or do linearly (chronologically)
 - a. Tie to objectives if study time is a factor and may not finish

- b. May relate to interim products (e.g., descriptive report)
- 3. Provides a monitoring device for assigning responsibility
- D. Resources
 - 1. List major resources (time, personnel, consultants, computer) required for each task
 - 2. May result in redefinition of tasks and objectives
- E. Schedule
 - 1. A major monitoring device
 - 2. Permits redirection when necessary

III. GENERAL REMARKS

- A. Act of developing a workplan assists in delimiting study
 - 1. "Assessing impact" is a small statement with substantial task and resource implications
 - 2. Examining many variables implies varied and multiple data collection techniques
 - 3. Option may be to examine a few variables in depth or many in more cursory fashion
 - 4. Audience may require more (or less) information than originally planned; workplan makes this explicit
- B. Workplan keeps study "under control"
 - 1. What to eliminate if time becomes a problem
 - 2. What to add if time is available
 - 3. If objectives change, have format for reorganizing
- C. Sets out interface areas for manager and analyst
 - 1. Manager's role is more limited at this stage of policy analysis (but still critical)
- D. Provides an accounting device for the "costs of research"
- E. Improves planning
 - 1. May discover enough tasks to hire a full-time resource (researcher/analyst or computer)
 - 2. Permits interface with other study efforts

WORKPLAN OUTLINE I

WORKPLAN OBJECTIVES and SCOPE				
OBJECTIVES	SCOPE			
	AUDIENCE	ANALYTICAL TECHNIQUES	RESOURCE AVAILABILITY (PERSONNEL, TIME, DATA)	PRODUCTS
1. Improve operations 2. Clarify choices 3. Identify implications of a new program 4. Evaluate past performance 5. Develop new programs 6. Defend the agency against critics	1. Corrections Administration 2. Legislators 3. Governor, Governor's Staff 4. Non-Corrections Administrators 5. Private Groups 6. Mass Media	1. Cost/Effectiveness 2. Survey Research 3. Modeling 4. Experimental Design 5. Monitoring Performance	1. Primary data sources, e.g., client records, historical data 2. Instruments needed 3. Skills such as economic, psychological, interviewing, programming, typing 4. Deadlines for the products 5. Location of needed resources, e.g., inhouse, other government agencies, special consultants 6. Secondary source material, e.g., books, reports, monographs	1. Reports 2. Speeches 3. Questionnaires, forms, charts 4. Procedures 5. Information system 6. Computer Programs 7. Inter-office memoranda

WORKPLAN OUTLINE II

WORKPLAN TASKS and RESOURCES

OBJECTIVES	TASKS	RESOURCES (type & amount)	Milestones	Products
See Sheet 1	<ol style="list-style-type: none"> 1. Review of existing studies, analysis, reports 2. Instrument design (sampling, testing) 3. data collection 4. data formatting, data reduction 5. data analysis 6. report preparation 	<ol style="list-style-type: none"> 1. Man days, or months, by skill required 2. Financial 3. Data needed 4. Computer time 5. Special materials, e.g., reproduction requirements 6. Special consultants 	<ol style="list-style-type: none"> 1. Targeted date for each task 	Broken down by task such things as memos drafts of report chapters, charts, film strips, questionnaires, final report

STEP 2

DEFINITE SENTENCING CASE STUDY - II

Scenario

You are part of the research staff of a national association of state officials. The association is a loose confederation of several organizations representing functional offices such as the Attorneys General, personnel officers, Governors and Legislators. Although appointed officials' organizations are included as well as those elected, in practice the policies of the national association are dominated by governors and legislators. Your research unit is one of several within the national association which undertakes special studies on questions of importance to these various state officials.

Your project director has been at a meeting with the Regional Funding Agency (RFA) regarding an issue of interest in the 9-state region. The RFA has received many inquiries regarding the impact of various definite sentencing proposals and is interested in being "responsive" to state needs. The RFA director says that the correctional agencies of the nine states have developed varying estimates of the cost of definite sentencing legislation. While she feels that there is little prospect of any legislation this year, the general consensus in the region is that the idea will "catch on" next year. Therefore, some independent study on the impact of definite sentencing should be performed before the new legislative sessions begin 11 months hence. The Regional Office has \$75 - \$115,000 for such a study.

During their meeting, the RFA director and your project director developed an issue paper addressing the definite sentencing question. The issue paper reflects the complexity and broadness of the problem.

Your project director has assigned to you and your colleagues the task of developing the issue paper into a workplan which will be submitted to the RFA as part of a proposal. This workplan should include specification of study objectives and scope, an analysis of the tasks necessary to complete the study, and the resources which will be required. Your project staff include: two social scientists, one attorney, an educator and a former official of a corrections agency. (Of course, you have the usual "stable" of consultants and research assistants who work on a per diem basis.) Your man year costs are \$60,000 (one person working full-time for one year - 240 days - with appropriate support services). In addition, as part of earlier studies, your project has developed a population projection model and an analysis of definite sentencing models--proposed and operational.

DEFINITE SENTENCING CASE STUDY

All approaches to definite sentencing are intended to reduce discretion at some point in the criminal justice, decision-making process. Proposals and actual laws can be classified in terms of how control of discretion is exercised.

The legislative model sets penalties statutorily for specific offenses or classes of offenses. Usually, the judiciary is permitted some flexibility to increase or decrease sentence length within a narrow range for aggravating or mitigating circumstances. For example, a judge must sentence a first degree burglar to three years, unless there are circumstances that warrant a longer (five years) or shorter (two years) sentence.

The judicial model establishes a maximum penalty (and perhaps a minimum) for types of offenses, but a sentence of imprisonment by a judge must be to a definite term. A class A crime may carry a maximum of five years, but the judge may decide a definite term of three years is appropriate.

The administrative model focuses on parole decision-making by establishing regulations for the range of months that can be served in confinement and/or under parole supervision for various offenses. Within these ranges, however, confinement and supervision periods are specified. For example, a first degree robbery may carry 30 to 38 months; but, if the act included a physical assault (36 to 44 months), the board can set a definite term within this higher range.

POPULATION PROJECTION MODEL

SMASH utilizes the trend extrapolation technique, i.e., that past patterns of events will continue into the future. The probability that an arrest will lead to conviction, incarceration or probation is calculated from past decisions. This yields the proportion of each month's arrests which will result in imprisonment and probation. These intake projections are then combined with anticipated release rates to produce the expected size of two population pools: persons in prison, on probation and parole.

It is a short-term model capable of incorporating such elements as increases in sentencing rates, changes in sentence length, higher conviction rates and more stringent parole requirements.

SMASH = Simulation for Managing And Scuttling Hassles

DEFINITE SENTENCING ISSUE PAPER

1. Statement of the Problem--Assessing the Impact of Definite Sentencing

a. Origin

The problem has its origins in the RFA's concern with the impact of definite sentencing proposals on the correctional administrators in its region and the conflicting projections made thus far.

b. Magnitude

Over 70 legislative proposals are now being considered by the 9 state legislatures. Even if only a handful become law, there could be implications throughout the criminal justice system. Speculation on population changes and effects on costs has been widespread.

c. Type

In general terms the problem of definite sentencing may focus on administrative impact, implications of projection and modeling techniques and/or cost analysis.

d. Reason for Interest

The increased number of definite sentencing proposals and the uncertainty of the effects are the major considerations. The RFA wishes to be responsive to its member states but has no in-house analytic capability to address such problems.

In addition to the RFA's interest, the Association has received numerous requests for advice from legislators and governors.

2. Parties Involved and Impacted

A major audience for the study is, of course, the RFA. However, the RFA really represents the correctional administrators in the 9 states whose interest will be in the managerial, population and cost implications of definite sentencing. A frequent audience for the Association's work is the National Organization of State Legislators.

3. Agency Goals and Objectives

The RFA goals include providing timely, relevant information to their corrections agencies. Here, this includes a definitive statement addressing some aspect(s) of the impact of definite sentencing. The Association's goals include providing services to state executives and legislatures which minimize criticism from this constituency.

4. Methodological Framework

Several possibilities emerge which are not mutually exclusive:

- (a) population projections for states
- (b) cost projections for states
- (c) development of generalized population and cost models
- (d) develop hypotheses about judicial response to definite sentencing
- (e) evaluate the causal model underlying definite sentencing proposals using secondary sources
- (f) apply SMASH and cost projections to one or two states

5. Alternatives

Several outcomes, or alternative impacts may emerge from the study. Such findings may include:

- a prediction of greater diversity in the offender population with a concomitant increase in managerial flexibility
- severe programmatic implications due to the reduction in uncertainty to offenders
- an overwhelming economic impact (which could alter legislative actions)
- a net reduction in correctional populations at all levels, with correspondingly lower implied costs
- the abolishment, and loss of positions of a specific correctional activity, e.g., parole
- no change in the offender population level but a redistribution which requires resource reallocation
- the impact is impossible to determine

Definite Sentencing

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WORKPLAN TASKS and RESOURCES				
OBJECTIVES	TASKS	RESOURCES (type & amount)	Milestones	Products
1. To assess effects of DS legislation on size and distribution of prison population in one state.	Phase I 1. Specify population data elements 2. Revise SMASH 3. Review DS activities in X states 4. Iterate impacts Phase II 5. State reconnaissance a. review data . . Phase III 12. Collect population data . . Phase IV 19. . . .	Project Director 5 days Project Staff 10 days		
2. To project cost impact of DS.	1. Specify cost factors 2. Review economic models and techniques 3. Assess data in X states . . 9. Collect cost data 10. Identify gaps and measures . . 15. Apply economic techniques	Economist 4 days Economist 7 days Economist & research asst. 15 days Research asst. 25 days Economist 4 days		
3. Identify data requirements for states seeking to undertake population and cost projections	1. Identify core data elements a. population b. cost 2. Specify population models 3. Select economic models			

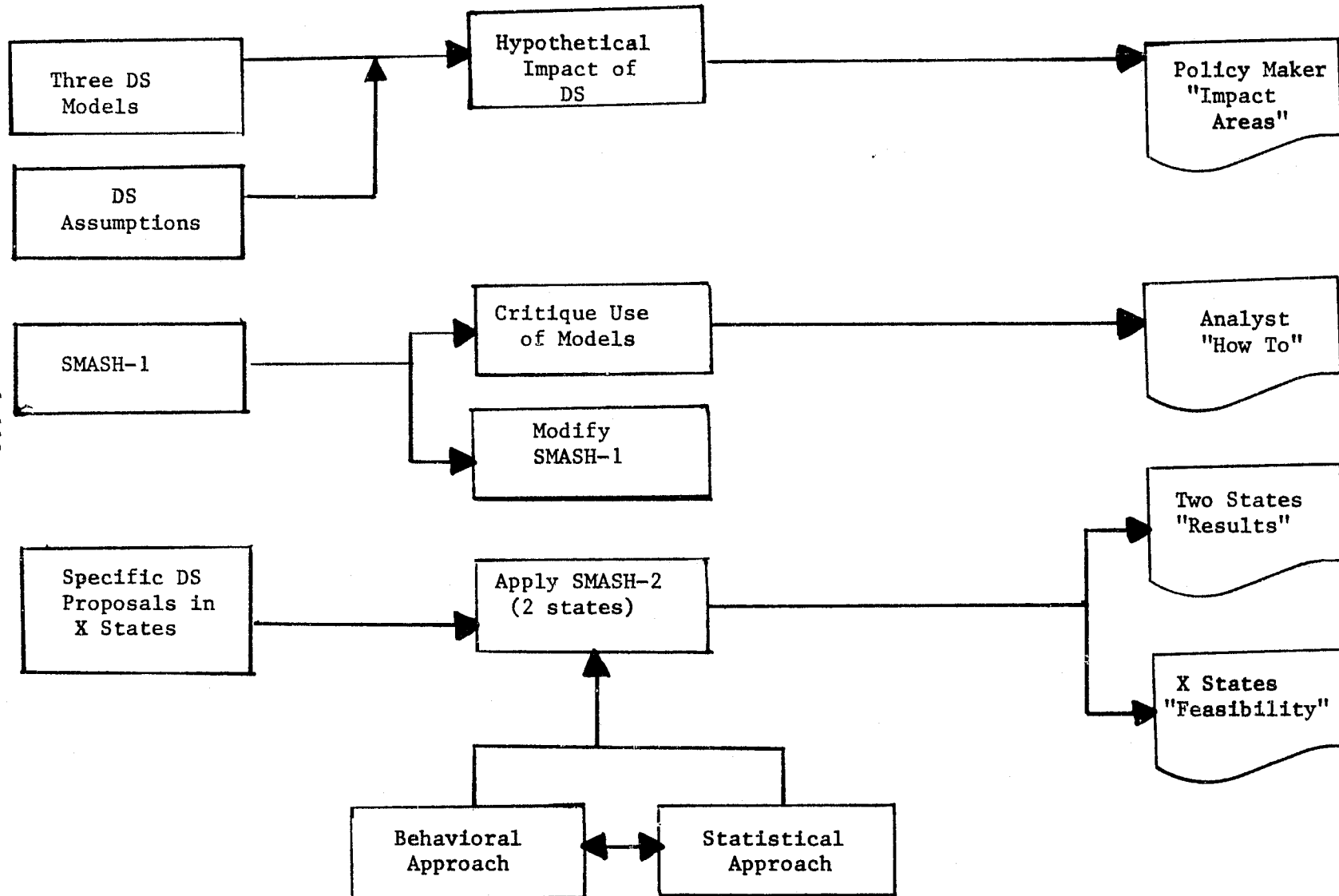
WORKPLAN SCHEDULE

TASKS	Month												
		1				2				3			
	Week	1	2	3	4	5	6	7	8	9	10	11	12
Phase I:													
A. Develop state selection criteria													
1. specify population data elements													
2. specify economic data elements													
3. revise SMASH													
B. Review states													
1. review data sources													
2. assess cooperativeness													
Phase II:													
A.													
1. identify data gaps													
2.													
3.													
4. field collection													
Phase III:													
A.													
1.													
2. coding													
3.													
4.													
Phase IV.													
A.													
1.													
2.													
3.													
4. carry out projections													
a. population													
b. economic													
Phase V													
A. Prepare written report													
1. approved outline													
2. firm draft													
B. Prepare oral report													
1. solicit interest													
2. schedule meeting													

DEFINITE SENTENCING CASE STUDY

PROPOSAL MODEL

1-110



TASK ANALYSIS

The Project Phase Method

One approach to task analysis is by Project Phase, i.e., a linear approach. This has the advantage of being straightforward: one proceeds from project planning to final report preparation. Milestones and checkpoints monitor project progress and it is easy to predict when the final product will emerge. When time is not critical (the "due" date is flexible) or when there are relatively few "unknowns" about data and techniques this format may suffice.

The Project Objective Method

Another approach relates tasks to project objectives and is more simultaneous in nature. The project is broken down into a set of "mini-phases" whereby each objective is represented by a series of tasks. (A single task may of course relate to more than one objective.) The advantage of this method is that it provides an interim check on the final product, since the final product is (ideally) the realization of all study objectives. It also circumvents the problem of unfinished products which may arise when a strictly linear approach is employed. The planner suddenly faced with time and resource constraints may select from the various project objectives -- those which are critical and/or can be completed under the new circumstances. Alternatively, the product can be scaled down.

Following are examples of each approach. Each form has been filled in with regard to the following Definite Sentencing "Proposal."

Objectives:

1. To assess the effects of the legislative model of definite sentencing upon the size and distribution of prison population in one selected state.
2. To project the cost impact of definite sentencing legislation (institutional and non-institutional).
3. Identify data requirements for states seeking to undertake population and cost projections.

Neither example is inclusive of all the tasks involved.

TASK ANALYSIS
Definite Sentencing

<u>Phase</u>	<u>Tasks</u>	<u>Resources</u>
I. Project Planning and Site Selection	<ol style="list-style-type: none"> 1. Develop Criteria <ol style="list-style-type: none"> a. specify data elements b. revise SMASH c. review DS activities in X states d. iterate possible impacts 2. State Reconnaissance <ol style="list-style-type: none"> a. review data sources b. identify key people c. assess cooperativeness d. local resources 	
II. Data Collection	<ol style="list-style-type: none"> 1. Identify data gaps 2. Identify surrogate measures 3. Design data collection instruments 4. Field collection 	Research Asst. 15 days
III. Data Reduction	<ol style="list-style-type: none"> 1. Consistency check 2. Coding 3. Key punch 	
IV. Data Analysis	<ol style="list-style-type: none"> 1. "Fit" SMASH to state 2. refine/revise economic techniques 3. Select DS scenario 4. Carry out projections 	Economist 5 days Economist/Staff 5 days
V. Product Development	<ol style="list-style-type: none"> 1. Write up host state results 2. Present findings 3. Identify "transferability" of results 	Staff 15 days Project Director 1 day

WORKPLAN TASKS AND RESOURCES
WORKPLAN OBJECTIVES AND SCOPE

See Step 3

STEP 3

WORKPLAN. OBJECTIVES and SCOPE

OBJECTIVES	SCOPE			
	AUDIENCE	ANALYTICAL TECHNIQUES	RESOURCE AVAILABILITY (PERSONNEL, TIME, DATA)	PRODUCTS

WORKPLAN TASKS and RESOURCES

OBJECTIVES	TASKS	RESOURCES (type & amount)	Milestones	Products

WORKPLAN SCHEDULE

TASKS

Month

Week

STEP 5

DATA AND INFORMATION NEEDS

I. MOVING TOWARD POLICY ANALYSIS

A. Data vs. information

1. Data is a series of discrete elements.
2. Information is combination and compilation in more coherent, connected form.

B. Programmatic vs. policy oriented information

1. Can collect information on program or activity, but may not be designed for policy choices.
2. Policy oriented information considers analysis within the context of the politics of public choice.

II. PLANNING DATA COLLECTION

A. Determine data requirements

1. Likelihood data are available.
2. "Second best" and proxy data.

B. Identify data sources

C. Primary and secondary sources

1. Use of only secondary sources may increase probability of error in analysis.
2. Errors in raw data will be compounded as move through steps of analytical process.
3. Consistency and accuracy checks will alleviate

III. POINTS TO REMEMBER

A. Collect more data than may be required

1. Documents

2. Reports

3. Unpublished papers

B. Informants

1. One person may give access to others.

2. Determine in advance all information required from a single individual; this avoids callbacks and the "nuisance" problem.

3. If only one interview with informant--do last, when all other relevant data has been collected.

4. Use manager and others for access when necessary.

C. Be creative

1. In contacting and combining different data sources to provide information.

2. In developing surrogates and proxies to complement primary data.

IV. INTERFACE: ISSUE PAPER TO WORKPLAN

A. Decision maker needs direct analysis and data collection efforts.

B. Study objectives and scope are delimited.

1. Data needs

2. Data sources

3. Resource availability

C. Data collection schedule an integral part of Workplan.

STEP 6

DATA SOURCE WORKSHEET

Information Component and Description	Data Elements	Possible Data Sources	Comments or Questions

MODULE 2: THE OUTCOMES OF POLICY ANALYSIS

UNIT 1: EVALUATING THE PRODUCTS OF POLICY ANALYSIS

This Unit introduces participants to all aspects of product evaluation through the Executive Summary. An opportunity is provided for peer review of study results. A central theme is the importance of evaluating alternative policy recommendations in terms of implicit and explicit objectives to be achieved. Material necessary for assessing the risk of failure is generated.

OBJECTIVES

1. To present the criteria for evaluating a policy study.
2. To present the components and uses of the Executive Summary.
3. To assess the quality of each participant's policy study through self and peer group evaluations.
4. To make explicit the reasons for and assumptions underlying a recommended alternative.
5. To produce materials necessary for assessing the technological and political uncertainty associated with alternative policy choices (Module 2, Unit 2).

CONCEPTS

1. Alternatives are compared in terms of the objective(s) they are designed to accomplish.
2. Objectives may be programmatic, administrative, political or personal but are explicit. (See Module 1, Unit 1, Step 7.)
3. The purposes of a policy report are: (a) clarify choice; (b) present alternatives; (c) relate action to outcome; and (d) estimate the risk of failure.
4. Information, in part, is evaluated in terms of the specific context in which it will be used.
5. The alternatives recommended by a policy study are assessed in terms of (a) feasibility; (b) reliability of supporting data; (c) validity of underlying theory; (d) clarity (communicability); and (e) applicability to the whole organization or other relevant unit (generalizability).

6. Managers have primary responsibility for implementing recommendations; analysts for advising.

PROCESS AND MATERIALS

Step 1

Prior to the training, each analyst is provided a description of the Executive Summary, a supply of blank forms and instructed to write an Executive Summary using the study report as the basis. (Time: Variable)

Notes: a. Executive Summary Description

Forms: a. Executive Summary

Step 1 (Optional)

If no policy study is available, the Halfway House Case Study can be used as the basis for an Executive Summary. (Time: Variable)

Readings: a. Halfway House Case Study
b. Thalheimer, Cost Analysis of Correctional Standards: Halfway Houses, Vol. II

Notes: a. Executive Summary Description

Forms: a. Executive Summary

Step 2

A lecture introduces the purposes of policy analysis, criteria for evaluating policy studies, and components of the Executive Summary. The Executive Summary step should be related to other steps in the policy analysis process, and the individual components to Issue Paper Components. (Time: 45 minutes)

Lecture: a. The Product of Policy Analysis

Readings: a. Burnham, "Modern Decision Theory in Corrections"

b. Chaiken, et.al., Criminal Justice Models: An Overview, pp. v-xiv

c. Cox, "Managerial Style"

d. Hatry, Program Analysis for State and Local Governments, Appendix C

e. Leiberg and Parker, "The Mutual Agreement Program," pp. 1-8, Appendix E

f. Quade, Analysis for Public Decisions, "Acceptance and Implementation"

- Forms:
- a. Schematic of the Policy Analysis Process
 - b. Major Documents of the Policy Analysis Process

Step 3

Eight to ten person groups comprised of co-participants reviewing Executive Summaries. Each team states the policy issue or problem under consideration, briefly outlines the alternatives and indicates the preferred choice. These are recorded on flipcharts. The group leader asks or elicits specific questions regarding how the alternatives were chosen, their clarity, reliability of the supporting evidence (data), possible risks involved, difficulty of implementation, who makes the final decision, etc. This review should reveal any ambiguities in language, identify implicit assumptions, and, generally, provide feedback for revising the Executive Summary. (The 12 factors contributing to implementation risk that are explained in Module 2, Unit 2 may be used as a discussion guide.) (Time: 120 minutes)

- Notes:
- a. Discussion Leader Notes
 - b. Completed Executive Summaries

Step 4

This exercise is designed to underscore the importance of explicit decision criteria and/or objectives when evaluating alternatives. (See Module 1, Unit 1, Step 7 for background material.) Individual participants are asked to assess on a scale of 1-3 how the preferred alternative will contribute to 20 objectives and to sum the scores for groups of objectives. Generally, these groups correspond to program (1-5), administrative (6-10), political (4-15) or personal (16-20) types of decision criteria. (Teams may be asked to compare their individual scores on the four groups and explain any divergence.) The group is told that the four sets represent different types of objectives/criteria, each of which is equally "valid". The trainer points out differences between teams' rankings and discusses how this is a function of each individual's unique perspective and the environment in which the alternative may be implemented.

- Forms:
- a. Maximizing Objectives by Alternatives

Step 5

A seminar is used to elicit participants' experiences with implementing policy changes, to discuss manager/analyst roles in that process and to introduce selected implementation concepts. (Time: 45 minutes)

- Readings:
- a. Cox, "Managerial Style," pp. 502-507
 - b. Dunbar, "Organizational Change and the Politics of Bureaucracy," pp. 1-5, 15-16
 - c. Lansing, et.al., "Unit Management: Implementing a Different Correctional Approach"
 - d. Harris and Spiller, After Decision: The Implementation of Judicial Decrees in Correctional Settings, pp. 11-17
 - e. Hargrove, The Missing Link, Chapter 1
- Notes:
- a. Implementing the Alternative

STEP 1

DESCRIPTION OF EXECUTIVE SUMMARY

The EXECUTIVE SUMMARY is designed to bring together in concise form the results of the policy analysis. It should include enough details so a decision maker can make an informed decision rather than an inspired guess, even if there is insufficient time (or interest) to absorb the complete report. The format of the EXECUTIVE SUMMARY places heavy emphasis on clarifying the options available (ALTERNATIVE COURSES OF ACTION), the benefits which can be expected from each (IMPACT ON AGENCY OBJECTIVES), the reasons why each option should be considered (EXPLANATION), and what the chances are that the problem can be solved (EVALUATION OF THE EVIDENCE). The SUMMARY AND RECOMMENDATIONS identifies any revision in the options which may have been suggested in the course of the study and the relative advantages and disadvantages of the options.

Although the EXECUTIVE SUMMARY is primarily a review of research results it may also be prepared at an early stage of the policy analysis process--for example, after the literature review, or the preliminary data analysis--to bring the manager up to date on the progress of the study in order to focus the remainder of the project.

STATEMENT OF THE PROBLEM

A brief statement (2-3 sentences) of the issue addressed by the study. This can be taken from your Issue Paper, if it is still accurate, or a revised version, if substantial changes have been necessary over the course of the study.

SUMMARY AND RECOMMENDATIONS

Compare the alternatives discussed in detail in Section III in terms of their relative benefits and risks. Explicitly recognize in the discussion not only the advantages of each alternative course of action but also the probability of failure. For example, one set of actions may have a potential positive effect on a wide range of agency objectives--recidivism, security, employee morale--but the evidence supporting that result is very limited. A final recommendation may combine elements of several alternatives discussed in Section III, or a modification of one of them. You will probably want to complete this section after you have discussed each of the alternative courses of action in detail.

ALTERNATIVE: _____

(Title)

This is the critical part of the EXECUTIVE SUMMARY. It describes the choices open to the decision maker, what can be expected from each one, and the advantages and disadvantages of each. A separate sheet should be completed for each alternative course of action.

Description

Recommended Action:

A brief description of the new program, or procedure, or policy. Be as specific as possible but remember this is a summary.

Examples: set up a halfway house, establish contract parole, use state-owned land as a prison site.

Impact on Agency Objectives:

How will the recommended action affect agency objectives? Again, be as specific as possible. The manager should be able to assess what benefits he can expect should this change be implemented.

Examples: minimize security costs; increase employment opportunities; raise self-esteem of clients.

Explanation:

Give the reasoning underlying the link between the recommended action and the expected outcomes. This is the rationale or theory on which the new program or policy is based. Information supporting the link between action and outcome is presented in the next section.

Examples: training usually results in greater efficiency; decentralization encourages variations according to local conditions; bulk purchases will lower unit costs; mandatory PSI reduces commitments; continual overcrowding will bring judicial intervention; better classification screening will match individual needs with programs.

Evaluation of the Evidence

The decision maker should be able to assess the likelihood of each option actually achieving the desired results given our knowledge about what works and what does not. Evaluation of the evidence is one way of providing this information.

Estimated Probability of Success:

What is the probability that the expected outcomes will result from the recommended actions? The estimate may be as simple as high, medium, low, or, if statistical tests have been possible, measures of association and of confidence levels. (Keep in mind, however, the level of sophistication of your audience if statistical measures are used.) It is a statement of the probability of failure should this alternative be selected.

Additional Consideration:

The simple statement of probable success should be supplemented by a more elaborate discussion of the evidence linking action and outcome. This may include an assessment of the validity of the measures used in the analysis, the kind of data acquired (primary/secondary, quantitative/qualitative), the analytical techniques used, and any deficiencies in the evidence.

Advantages and Disadvantages

Each alternative should be evaluated by itself. There is no fixed content but some of the things that should be included are:

- Audience affected
- Resource requirements and availability
- Complexity of implementation
- Time required to implement
- Comprehensiveness of the solution given the problem
- Effect on agency objectives
- Capable of being monitored
- Possible side effects (positive or negative)

EXECUTIVE SUMMARY

STATEMENT OF THE PROBLEM:

SUMMARY AND RECOMMENDATIONS:

ALTERNATIVE: _____
(Title)

Description

Recommended Action:

Impact on Agency Objectives:

Explanation:

Evaluation of the Evidence

Estimated Probability of Success:

Additional Consideration:

Advantages and Disadvantages

STEP 1 (OPTIONAL)

HALFWAY HOUSE CASE STUDY

The Department of Corrections

The cabinet-level Department of Corrections was established (PL 28-114) 5 years ago by combining units from several other state agencies: The Bureau of Corrections was transferred from the Department of Mental Health and Institutions; The Division of Child Welfare from the Department of Social Services; and Probation Services from the State Court Administrator's Office. (Earlier legislation had established a unified court system in which local probation functions were subsumed under state auspices.)

The Department's mission is to protect the public from criminal and delinquent acts by providing programs that control offenders' behavior and that create opportunities for the individual to function as a law abiding citizen. There are three overall goals that have been posited to carry out this mission over the coming 5 years:

- Reduce institutional overcrowding to design capacity and/or to standards for square feet per person
- Improve the quality and amount of services delivered to offenders prior to institutionalization
- Increase agency flexibility to manage and place offenders at minimum cost to the state

Part of the compromise in passing PL 28-114 was that a Division of Community Services would be established within the Department of Corrections as a way of maintaining the statute and assuring priority treatment of probation field services, foster care and group homes in the new agency. The Division (and, by implication, the Department) has maintained a positive

working relationship with the judiciary. Probation officers are generally highly regarded by judges and their recommendations in presentence reports are given significant weight in sentencing decisions. The other Divisions (Institutions and Support Services) were created by executive order.

Another major factor in legislative passage of this bill was the widespread and vocal support of the Sheriff's Association. Under court order to relieve jail backlog, they saw the emphasis afforded community programs as an immediate measure to ease the problem. In addition to heavy lobbying for passage, the sheriffs have promised full cooperation and support to your agency and to the new Commissioner. The Commissioner was selected by a search committee. This committee, which claims to have considered eighteen candidates, was comprised of the Chairman of the Senate Judiciary Committee (the legislature's "watchdog"); the Head of the State Civil Service Board (a retirement job); the Executive Director of the State Chamber of Commerce (worked his way up through the Jaycees) and the President of the State University (Ph.D. in teaching the mentally handicapped).

Departmental Programs

Since the reorganization, juvenile status offenders have been removed from facilities operated by the Division of Community Services and institutionalized delinquents are under the supervision of the Institutions Division. With these changes, approximately ninety-five percent of the workload in the Division of Community Services has been probation (4,700) and parole (1,500) supervision

cases; the remainder being institutional-based work release (40), education release (34), furloughs, and three pre-trial diversion programs (180).

The Division of Institutional Services is responsible for offenders while incarcerated. Last year the population was distributed as follows:

TABLE 1

<u>Adults</u>	<u>ADP</u>	<u>Admissions</u>	<u>Releasees</u>
Penitentiary	850	800	650
Men's Reformatory	550	500	540
Women's Institution	80	60	85
<u>Juveniles</u>			
Training School	170	290	245
Juvenile Center*	105	150	125

*Co-ed facility: 30 females and 75 males.

The intake functions are divided according to the potential client's place in the system. The presentence investigation provides information for sentencing decisions and is especially crucial in selecting alternatives other than the major state institutions. Both long and short forms are used, depending on time and caseloads. Institutional caseworkers are responsible for developing release plans which the Parole Board uses to decide which institutionalized persons to parole, when to release and the period of supervision.

Counseling sessions with releasees and telephone contacts with family, prospective employers, etc., are used to identify the kinds of services which will aid the transition.

The Department of Corrections has had some experience with outside service delivery. On two separate occasions it contracted with (and continues to do so) private organizations to deliver services to parolees and probationers. A non-profit, local public service organization, offers employment counseling and job placement to recent parolees. The organization receives lump-sum funding quarterly on the condition that it screen all releasees, and accept at least 50 clients per month for an average program time of three months. Fifty percent of those accepted must be placed in a job by the end of three months; an additional 25% must be placed after 6 months. As part of the funding agreement, the organization is performing an in-house evaluation which has, to date, produced information which indicates that employment counseling and placement seem to increase the length of job retention. Some preliminary data have been assembled which suggest a relationship between variables such as offense, prison stay, age and education, and the benefits derived from employment counseling. Fifteen percent of the participants have held the same job for over one year after formally leaving the program.

A crisis intervention service is provided to probationers and their families through a local, private mental health organization which had been providing these services to the non-offender community. Individuals are referred to services by probation officers on an as needed basis to deal with marital disputes, housing relocation, problems with children, obtaining

public assistance, etc. The organization is paid by units of service provided, a unit essentially comprising a 15-minute intervention. (The average session length is 52 minutes.) No outcome measures are specified, although absence of later need for intervention has been suggested as a possibility. The organization offers a broad range of counseling and diagnostic services; this service to probationers represents its first inroad to the criminal justice system and arose following a speech by the organization's director in which she claimed the probation department was "denying needed services to its clients" and emphasizing surveillance. Probationers now constitute 15% of the clients receiving this service.

Research and Planning

The new Commissioner has publicly stated to all departmental employees that planning, evaluation and performance measurement are the best techniques for successfully managing a public agency and assuring organizational accountability. In his last job as Director of Probation, Parole and Field Services in an adjacent state, the Commissioner completely reorganized the department; instituted an annual planning process involving all levels of the organization; expanded by 75 percent client services provided by the agency and under contract; and required that each new program after operating 18 months justify why it should not be abolished. One effect of this last requirement was that program managers, as a rule-of-thumb, would allocate 10-12 percent of their budget to program and process evaluation. The Governor's Finance Committee and the Joint Budget Committee of the Legislature responded favorably to the Commissioner's management approach and to how he

scrutinized new programs; in fact, they began to request similiar types of information from the Departments of Social and Health Services, Education and Vocational Rehabilitation.

Program managers (unit chiefs, superintendents, district probation supervisors, etc.) in your agency are skeptical about the efficacy of management-by-objectives, performance measurement evaluation and similar techniques in running an organization so subject to the whims of the courts, law enforcement, Parole Board and public sentiment generally. Their last experience with a Master Plan was negative. The prior Commissioner, under pressure from a reform-minded Judiciary Committee of the Senate, assigned responsibility to the Research and Planning Unit for developing a long-range plan. With contractual assistance from a university department experienced in public sector planning, the Unit devoted all of its employees (10) over a 5-month period to the effort. This included: setting agency goals (approved by the executive staff), collecting data, coordinating plans developed independently by each program manager and writing the final document. Unfortunately, the Judiciary Committee felt the Master Plan "was not responsive to the priorities established only 2 years earlier by PL 28-114" and directed its staff to "prepare an alternate plan as the basis for Appropriations Committee action". Hearings during the next session focused principally on why the Department's budget request was inconsistent with the Legislature's plan.

You have worked for 5 years as a program evaluator in the Research and Planning Unit of the Department (and 2 years in a similar job with the

Bureau of Corrections). Several studies done under your direction have been widely disseminated in other jurisdictions as examples of methodologically sound research that grew out of the on-going activities of an operating agency. One 3-year recidivism study, for example, showed that prior employment, criminal history, and the instant offense explained over 42 percent of the variation in recidivism rates. Another study, using experimental and control groups, concluded that individuals participating in institutional-based work release were arrest-free for an average of 6 months longer than those who did not participate. As a result of these and other projects, the Department's national reputation as an innovator has been enhanced and you personally have been invited to speak at professional meetings, submit articles for publication and advise nearby states on how to design evaluation studies.

In addition to the information being generated by your agency and the two organizations with which it contracts, there exists some additional information on other agencies' experience with community correctional treatment. Much of it, however, provides results on programs which lack analytical rigor in some regard (e.g., no control group, lack of random assignment, "soft" effectiveness measures). For example, a Minneapolis program to provide psychosocial vocational treatment to parolees appeared to register success (recidivism) only as long as treatment continued. ^{1/} Martinson suggests, additionally, that "the evidence points to greater effectiveness when counseling is focused on aiding the offender to meet immediate problems within the community (such as...job placement)."

^{1/} Lipton, Martinson, Weeks. The Effectiveness of Correctional Treatment (New York: Prager, 1975).

The other resource at your disposal is Cost Analysis of Correctional Standards: Halfway Houses, Vol. II. This report provides national summary information on Halfway House operations and cost. Some relevant sections include:

1. Sources of cost variation: pp. 34-56
2. Criminal Justice cost estimates for providing a range of Halfway House services:
Analysis: pp. 58-74
Tables: pp. 63, 65, 68, 69
Summary Table: p. 70
3. External costs: pp. 77-90
4. Summary of standards implementation costs: pp. 99-104

Prepare an Executive Summary for the Commissioner on the community corrections issue based on the scenario and the report.

STEP 2

THE PRODUCT OF POLICY ANALYSIS

I. PURPOSE OF POLICY ANALYSIS

- A. The results of policy analysis should provide the manager with objective information for a decision.
- B. May use criteria (other than objective) in making the decision--political, administrative, personal preference.
 - 1. E.g., one prison site may be more cost-effective than another but the final choice must be made on the basis of community acceptance.
- C. Information is different from data.
 - 1. Information based on accumulated data.
 - 2. Must be tailored to the audience--do not use chi-square or measures of statistical significance if audience does not understand.
 - 3. Addresses questions of strategy of presentation rather than raw findings.
 - 4. Presentation may take several forms--memo, formal report, oral presentation--depending upon the decision style of the audience.
 - 5. Information is communicable; data is discreet.

II. CRITERIA FOR EVALUATING PRODUCTS

- A. Alternatives should be clearly identified.
 - 1. Purpose of analysis is to assess means and first step in the process is to identify what the options are.
 - 2. Necessary if analysis is going to clarify choices available to the decision maker.
- C. Indicate how the action is expected to produce the desired outcomes.

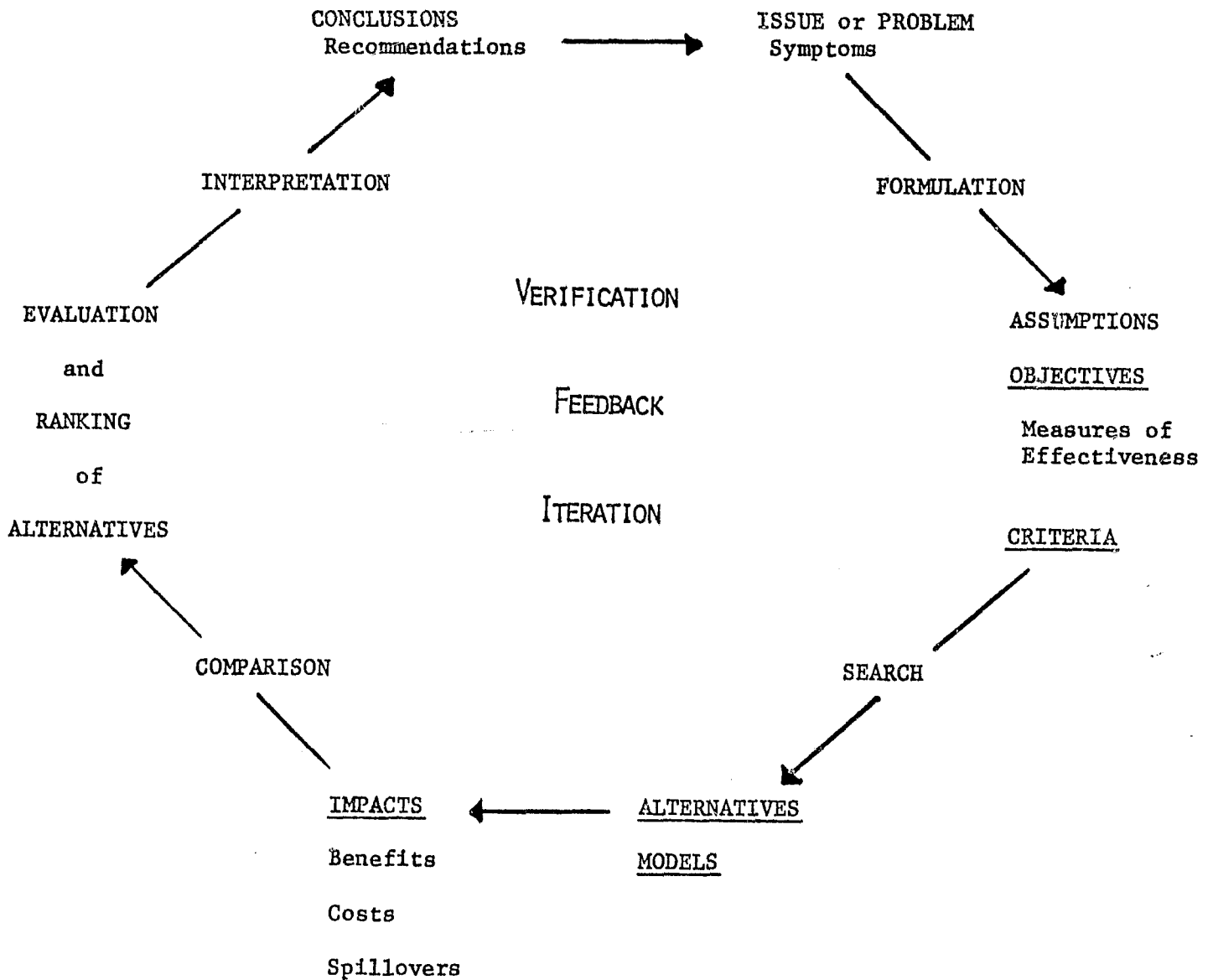
1. Manager should not have to make his decision on faith alone.
 2. Often the means which are intuitively appealing have no relation to the desired objectives, e.g., unemployment insurance and recidivism.
 3. Different alternatives are likely to achieve a different set of objectives and this should be made clear--e.g., contracting for a new service vs. using existing personnel--may both provide the service and affect employee morale differently.
- D. An estimate of the risk of failure for each alternative.
1. Some actions will be more experimental than others, e.g., therapeutic community vs. hospitalization and psychotherapy for drug users; or traditional probation casework vs. community resource management.
 2. Managers should be aware of how much evidence there is to support the assertion that the action will produce the desired outcome.
 3. All future effects are uncertain.

III. THE EXECUTIVE SUMMARY

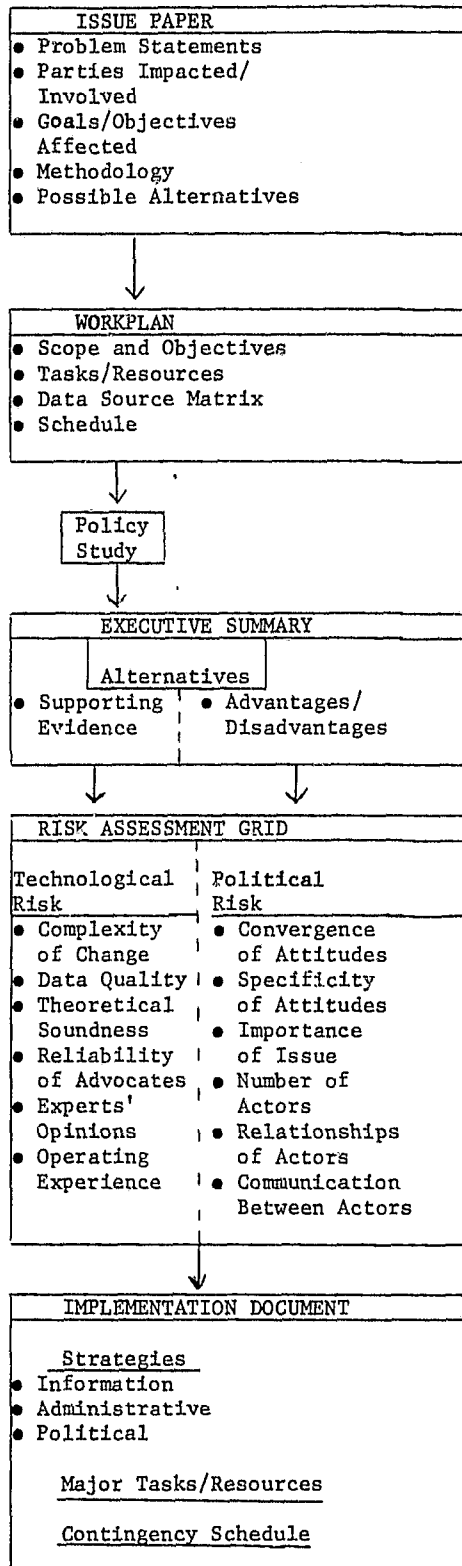
- A. Although the manager may only want one recommendation, the analyst should be able to meet the above criteria for all alternatives assessed in the Executive Summary.
1. The Executive Summary is a way to organize the conclusions of the research.
 2. Three parts: Statement of the problem; statement of alternatives; summary and recommendations.
- B. Statement of the problem:
1. Clarifies relevance of project to agency goals.
 2. Provides a reminder of the origins of the policy study.
- C. Statement of alternatives contains the criteria discussed above:
1. The action to be taken.

- a. Each action alternative should be listed separately and all the other attributes discussed with it.
 - b. Should be relatively specific.
- 2. The expected impact on agency objectives:
 - a. Be specific as to how the objectives will be affected by the action, not just which ones will be affected.
 - b. E.g., cost/unit will be reduced; not, costs will be affected.
- 3. The causal link between the action and the outcomes:
 - a. Explain why the action is expected to affect agency objectives.
 - b. Should grow directly out of the analytical process.
- 4. Evaluation of the probability of failure:
 - a. Since any future effect is probabilistic, some discussion of how reliable the evidence is supporting the prediction of outcomes should be made.
- 5. A summary of the advantages and disadvantages of each alternative:
 - a. Here additional information may be brought in such as political implications, time required to implement, etc.
- D. Summary and Recommendations
 - 1. This section is where the alternatives are compared with each other.
 - a. Here the political and administrative implications should be addressed, if known.
 - 2. Place where analyst's conclusion of best alternative, given the results of the analysis, can be made.
- E. If an Executive Summary is produced it will, at a minimum, provide the analyst with what is needed for a briefing session, or paper.
 - 1. If manager is oriented toward objective information when making his decision, can serve as the briefing document.
 - 2. Contains the information necessary to address problems of implementation.
 - a. Permits assessment of at least the technological risks of the choice if not the political.

FIGURE 1
POLICY ANALYSIS PROCESS



MAJOR DOCUMENTS OF THE POLICY ANALYSIS PROCESS



STEP 3

DISCUSSION LEADER NOTES
SEMINAR REVIEW OF EXECUTIVE SUMMARY

1. What were the problems in completing the Executive Summary?
 - (a) Difficult to distinguish alternatives
 - (b) Relating action to outcome may be ambiguous
 - (c) Separating agency objectives that are impacted
 - (d) Study not sufficiently complete
2. What is an alternative?
 - (a) Requires that there be a choice
 - (b) Means, not ends
 - (c) Changing means may change the ends
 - (d) Course of action
3. How did you select your alternative?
 - (a) Policy analysis is decision-focused
 - (b) Relation to the original problem
 - (c) Relativity of decision criteria
 - (d) Policy analysis evidence (technological) vs. context (e.g., cost, SOP, politics)
4. How comfortable do you feel with the evidence?
 - (a) Uncertainty is always present (future-oriented)
 - (b) Results are likely to be ambiguous
 - (c) Subjective evaluation of risk
5. How will a choice of alternatives (decision) be made in your agency?
 - (a) Decision as a process rather than an event (evolution)
 - (b) Policy analysis process does not equal decision-making process
 - (c) Analyst adopts advisory/consultative/expert role
 - (d) Risk (responsibility) shifts from analyst to manager
6. Are the alternatives equivalent in terms of outcome?
 - (a) Vary in terms of externalities (+) generated
 - (b) Vary in terms of priorities among multiple objectives
 - (c) Vary in terms of timing

STEP 4

OPTIONAL S-6 EXERCISE:

MAXIMIZING OBJECTIVES BY ALTERNATIVES

To "score", total the rankings of 1-5; 6-10; 11-15; 16-20.

Rank the total scores from high to low.

Questions 1-5 are program criteria
Questions 6-10 are administrative criteria
Questions 11-15 are political criteria
Questions 16-20 are personal, career criteria

MAXIMIZING OBJECTIVES BY ALTERNATIVES

How will the alternative fulfill the following objectives?
(1 = not at all; 2 = moderately; 3 = a great deal)

- | | | | |
|---|---|---|---|
| 1 | 2 | 3 | 1. Contribute to fulfillment of agency goals |
| 1 | 2 | 3 | 2. Improve services available to clients through existing programs |
| 1 | 2 | 3 | 3. Reinforce a change in program philosophy |
| 1 | 2 | 3 | 4. Permit the implementation of a new program that you feel is highly valuable (or of new program components) |
| 1 | 2 | 3 | 5. Reduce criticisms of the program by non-program staff |
| 1 | 2 | 3 | 6. Improve or simplify administrative procedures |
| 1 | 2 | 3 | 7. Provide staff with new skills |
| 1 | 2 | 3 | 8. Reduce operating costs |
| 1 | 2 | 3 | 9. Can be monitored without difficulty |
| 1 | 2 | 3 | 10. Increase the agency's (or program's) budget or number of staff |
| 1 | 2 | 3 | 11. Support agency during budget negotiations |
| 1 | 2 | 3 | 12. Remove pressure from overutilized services, agencies, or programs |
| 1 | 2 | 3 | 13. Reduce or avoid controversy over agency's activity with State Budget Committee |
| 1 | 2 | 3 | 14. Enhance the position of the agency with elected officials |
| 1 | 2 | 3 | 15. Satisfy critics of the agency |
| 1 | 2 | 3 | 16. Increase one's personal status in the agency |
| 1 | 2 | 3 | 17. Contribute to a career advancement |
| 1 | 2 | 3 | 18. Protect oneself from criticisms |
| 1 | 2 | 3 | 19. Satisfy a personal or professional concern |
| 1 | 2 | 3 | 20. Provide me with more desirable professional tasks and assignments |

Total separately the rankings of objectives.

Total and Rank

1-5	_____	_____
6-10	_____	_____
11-15	_____	_____
16-20	_____	_____

STEP 5

IMPLEMENTING THE ALTERNATIVE
(Discussion Leader Notes)

1. Has anyone here been involved in implementation at your agency?
 - Generic kinds of implementations: process, innovation, modification
2. How would you define implementation?
 - Context of implementation (objective information in a political context)
 - Implementation as it relates to policy analysis
 - Distinct from (yet related to) study process
 - Action focus
3. What was your role in the implementation?
 - Manager must take a primary role; monitor, manage
 - Analyst as technical consultant
4. What were the major problems with implementation?
 - Uncertainty of implementation process (future); little knowledge
 - Context was important in policy analysis; crucial to implementation
 - Use of information
 - Requires action in inactive world
 - Administrative vs. technological vs. political problems
 - Unity of problems in implementation context
5. How did you deal with the problems?
 - Implementation does not happen "by itself"
 - A plan for strategies; avoidance of ad hoc when possible
 - Strategies vary with context
 - Risk management vs. risk avoidance
6. How did you know when implementation had finally been achieved, occurred?
 - Performance criteria
 - Relationship to agency objectives
 - Policy analysis uses scientific criteria; implementation uses "success" criteria.

MODULE 2: THE OUTCOMES OF POLICY ANALYSIS

UNIT 2: ASSESSING THE RISK OF POLICY CHOICES

Estimating the probability that a proposed course of action will be implemented can be a systematic process rather than left entirely to intuition. The Reliability of the Technology and Consensus Among the Critical Actors forms are designed to assist in assessing the risk of failure associated with the alternatives identified in the Executive Summary. These evaluations will serve as the foundation for developing strategies for increasing the probability that implementation will be successful. The Jail Standards Case Study can be used to introduce the concepts and forms and illustrate their use before the participants turn to their own issue.

OBJECTIVES

1. To reinforce the idea that implementation is a critical part of policy analysis.
2. To make the participants familiar with the concepts involved in risk assessment.
3. To produce an assessment of the risk of failure for each of the alternatives developed during the research phase as a foundation for development of implementation strategies.

CONCEPTS

1. Failure to implement an alternative course of action is a product of two sources of uncertainty—technological and political--which parallel the two roles of manager and analyst.
2. Risk of failure is a statement of probabilities rather than an absolute as all action (including inaction) involves some possibility of negative or positive consequences.
3. Risk of failure can be estimated through an assessment of the degree of Reliability of the Technology and Consensus Among the Critical Actors for each alternative course of action.
4. Reliability of the Technology is captured by six components: (1) expert opinion; (2) operating experience; (3) source of the evaluation; (4) complexity of the change; (5) reliability of the data; (6) analytical support.

5. Consensus Among the Critical Actors is measured by six components:
(1) number of critical actors or organizations; (2) the authority relationships; (3) communications link; (4) attitudes towards the issue; (5) specificity of the opinions; (6) importance of the issue.

PROCESS AND MATERIALS

Step 1

The Jail Standards Implementation Case Study can be used to introduce concepts and process for assessing risk. Participants should be divided into subgroups of ten people, keeping the agency team members together. These two groups are further subdivided into smaller teams each of which is assigned a standard. They complete the Jail Standards Reporting Format for their standard and submit it to the subgroup. (Time: 60 minutes)

The subgroup selects one of the standards to recommend to the commissioner of corrections whose resume they have been given. (Each subgroup should be given a different resume. The other resumes can be given to them after they make their recommendation.) Staff should serve as facilitators and resource people. (Time: 60 minutes)

Each subgroup presents its recommendations to the commissioner in a plenary session with staff serving as each commissioner described by the resumes. Questions should focus on the risks associated with each standard selected. (Time: 45 minutes)

- | | |
|--------|---|
| Notes: | a. Jail Standards Implementation Case Study |
| | b. Discussion Leader Points: Jail Standards |
| | c. Jail Standards Review Checklist: Standard I; Standard II; Standard III |
| | d. Commissioner's Biographical Information: PR, PC, P and A. |
| Forms: | a. Jail Standards Reporting Format: Standard I; Standard II; Standard III |
| | b. Recommendation to the Commissioner |

Step 2

An introductory lecture to the concept of risk of failure arising out of the uncertainties associated with technology and the political context. The Reliability of the Technology form is explained in detail. (Time: 60 minutes)

- Lecture: a. Technological Uncertainty
- Readings: a. Chaiken, et al, Criminal Justice Models: An Overview, pp. v-xiv, Chapter 7
- b. Lansing, et al, "Unit Management: Implementing a Different Correctional Approach"
- c. Council of State Governments, Reorganization of State Corrections Agencies, pp. xi-xv, Chapters 3,5
- d. Schick, "Beyond Analysis"
- e. Quade, Analysis for Public Decisions, Chapter 20
- Forms: a. Reliability of the Technology

Step 3

The Jail Standards Case Study can be used to familiarize the participants with the use of the Reliability of the Technology form. They should be divided into small groups (8-10 people), and fill out a Reliability of the Technology form for Standards I and II. The results are then discussed with staff serving as discussion leader and emphasizing how each component contributes to an assessment of risk of failure. One discussion method is to identify divergent ratings on each factor, if any, and elicit reasons why these were chosen. This process will tend to underscore the individual's varied, subjective opinions regarding risk. (Time: 45 minutes)

- Notes: a. Jail Standards Case Study
- b. Discussion Leader Questions: Standards I and II
- Forms: a. Reliability of the Technology

Step 4

Participants remain in the small groups. Each individual completes an assessment of the Reliability of the Technology for each alternative identified in their agency's study. (Or, the alternatives identified in the Halfway House Case Study for those who have not completed a study. See Module 2, Unit 1.) The team members then resolve their differences to produce a single evaluation. The results are then displayed to all members of the subgroup and staff lead a discussion of the implications of the results and reasons for selecting a rating. (Time: 60 minutes)

- Forms: a. Reliability of the Technology

Step 5

The Consensus Among the Critical Actors form is introduced in a large group through a lecture format. The concepts underlying the form are explained, and the relationship of politics to implementation discussed. (Time: 60 minutes)

- Lecture: a. Political Uncertainty
- Readings: a. Bardach, The Implementation Game, Chapters 2-4, 6, 7-9
- b. Council of State Governments, Reorganization of State Corrections Agencies, Chapters 1, 4-6
- c. Ukeles, "Policy Analysis: Myth or Reality"
- d. Dunbar, "Organizational Change and the Politics of Bureaucracy"
- e. Harris & Spiller, "After Decision", especially pp. 3-16
- f. Leiberg & Parker, "The Mutual Agreement Program", pp. 25-27
- g. Chaiken, et al, Criminal Justice Models: An Overview, pp. 119-121, 123
- Forms: a. Consensus Among the Critical Actors

Step 6

Participants, divided into small groups (8-10 people), fill out the Consensus Among the Critical Actors form for each of the alternatives identified in their agency's study. (Or, the alternatives identified in the Halfway House Case Study for those who have not completed a study. See Module 2, Unit 1.) Each team then reconciles the differences in evaluation to produce a common assessment. The results are shared with the rest of the group (through oral reports and graphic displays) and the implications discussed under the leadership of staff. (Time: 60 minutes)

- Forms: a. Consensus Among the Critical Actors

STEP 1

JAIL STANDARDS IMPLEMENTATION CASE STUDY

You are a member of a task force created by the Department of Corrections to direct the implementation of a Minimum Jail Standards program. Following is a brief description of the background of the program, and detailed information on some of the standards which are mandated. You are expected to develop alternative implementation suggestions for some of these standards based on your knowledge of the political milieu and the technical requirements for each standard. Much of the information was collected by an earlier study team, but you must perform the final assessment.

The wording for a select number of the standards is given below. Following each one is information on the context and relevant findings of the study team. You should assume that all the material reported in the descriptions is accurate and relatively complete. Use the form provided after each standard to record your recommendations.

Background

The bill mandating minimum jail standards at the local level was enacted by the state legislature and signed into law by the governor. The substance of the bill was derived from a policy study undertaken by a blue-ribbon study team of 60 persons. Convening during May and June of 1977, in cities around the country, this group of policy analysts and jail managers defined the problem and set about designing a solution which was multi-disciplinary, decision-oriented, proactive and could be applied in the immediate future. The clarity and decision focus of the study team's approach, as well as the Executive Summary with which they thoughtfully supplied the legislature, were said to be the major factors producing legislation this year.

Ten years have been allowed for full compliance, although progress is expected to be steady. Because of lack of experience in statewide implementation, it has been decided that implementation may be phased or otherwise adapted when necessary to assure maximum compliance (e.g., a standard may be enacted in a single jurisdiction, a set of jurisdictions, or statewide). The experience thus gained is expected to facilitate and speed the process of statewide application. There are 49 jails which will be affected by the legislation. Of these, two are located in urban areas and are the largest in the state with average daily populations (ADP) of 550 and 700 respectively; ten are "suburban," medium-sized facilities with ADP's ranging from 50 to 120. The balance are small, rural jails with ADP's from 3 to 20.

Standard 1: IMPROVE THE QUALITY OF JAIL STAFF THROUGH EDUCATION AND TRAINING.

This standard was recommended when the study team discovered a high correlation between education and training and the quality of jail services rendered. Before-and-after studies indicate a significant relationship between staff education and the institutional climate. Improvement was noted in activities ranging from intake processing to the quality of food services to routine inmate-staff relations. In addition, it appears that this improvement increases with more education and/or training. The team's recommendation (which the legislature accepted) was state subsidization of the costs for education and training. However, they did not specify how this program would be administered. Several possibilities for content and reimbursement have emerged during your Task Force's planning phase.

- A. TRAINING--If in-service and pre-service training are selected as the means (or part of the means) for implementing this standard, the state has agreed to reimburse local jurisdictions 80% of the cost of this training (including correctional officer coverage). Who should provide the training was not specified--the training may be provided in-house, by the DOC, by the state or through outside contractor. Two tested training programs--a correspondence course and a "classroom" course were reviewed by the study team. They concluded that the courses had similar objectives and either would be acceptable. These conclusions were based on substantial documentation of success which accompanied each program. The only requirements are that the training course must be approved by the Jail Commission and that training exposure (training days = education days) should be equivalent to education exposure had that option been selected.
- B. EDUCATION--There are two basic subsidy variations being considered by the Task Force. One is direct reimbursement to the employee for earning a "C" or better in approved courses related to law enforcement and corrections. This reimbursement would cover 85% of tuition, fees and supplies costs, with an annual ceiling on the reimbursement per employee. The other is a salary supplement for course hours accumulated during each 12-month period. The supplement would constitute a .006 salary increase for each 3-credit course completed with "C" or better. The increase permanently raises the employee's salary and is awarded annually on the employee's anniversary date. Evidence on the costs and participation in education courses under both these arrangements is available from a local jail in a neighboring state. The observations

CONTINUED

2 OF 5

were taken from a jurisdiction whose characteristics (population, jail size, public employee salaries and correctional officer background) are very similar to several jurisdictions in your state; they demonstrate the impact on costs and on persons enrolled for alternative coursework and funding arrangements. On average, a correctional officer stayed in the jurisdiction 6½ years. The median tenure, however, is 27 months.

A variation on this approach, not adopted by the neighboring jurisdiction, was a one-time salary supplement (bonus) to those obtaining or already holding a degree (and employed at least 2 years). The rates considered were 8% of current annual salary for the A.A., 9% for the B.A., and 10% for advanced degrees. This bonus could also be used to supplement or replace the subsidy plan described and exhibited in Figure I.

This standard is one which everyone seems to favor; at least, no opposition is evident, either to the concepts of education and training or to the means selected for provision.

FIGURE I

COST AND ENROLLMENT OUTCOMES OF FOUR EDUCATIONAL
ALTERNATIVES AND TWO FUNDING ARRANGEMENTS ^{1/}

<u>Program</u>	<u>Funding Arrangement</u>	<u>Annual</u> ^{a/} <u>Cost</u>	<u>Total</u> <u>Persons</u> <u>Enrolled</u>	<u>Total</u> <u>Courses</u> <u>Complete</u>
1. 1 year, Jr. College Certificate in Law Enforcement and Corrections	A. Coursework Reimbursement	\$765.00 (one-time)	3	6
	B. Salary Subsidy	\$644.20 (per year)	4	9
2. 2 year A.A. degree in Law Enforcement and Corrections	A. Coursework Reimbursement	\$637.50 (one-time)	2	5
	B. Salary Subsidy	\$499.80 (per year)	3	7
3. 4 year baccalaureate in Law Enforcement and Corrections	A. Coursework Reimbursement	\$510.00 (one-time)	3	4
	B. Salary Subsidy	\$388.50 (per year)	2	5
4. Advanced degree in Criminal Justice, Psychology, Sociology or Criminology	A. Coursework Reimbursement	\$255.00 (one time)	1	2
	B. Salary Subsidy	\$252.90 (per year)	1	3
5. General Coursework/ No Degree Program	A. Coursework Reimbursement	\$1,657.50 (one time)	7	13
	B. Salary Subsidy	\$ 599.40 (per year)	7	9

^{1/}

Source: Wistful Vista County "Courses for Cash" Program 1974-1977. Funding awarded by state legislature which paid 80% of the costs of the study (which coincidentally is also the estimate of the confidence level).

^{a/}

- A. Derived on basis of average credit hour cost of \$50.00; 85% reimbursement.
- B. Derived on basis of average annual salary for participants in each program.
 - 1. \$12,300
 - 2. \$11,900
 - 3. \$12,950
 - 4. \$14,050
 - 5. \$11,100; .006 increase per 3-credit course.

Standard 2: PRISONERS WILL BE SEPARATED ACCORDING TO SECURITY RISK AND PROGRAM NEEDS. SPECIAL EFFORTS WILL BE MADE TO PLACE EACH INDIVIDUAL UNDER THE LEAST SECURITY CONSTRAINTS CONSISTENT WITH PUBLIC SAFETY REQUIREMENTS. PROGRAM NEEDS SHALL BE DEFINED AT A MINIMUM BY SEX, AGE, OFFENDER TYPE, MENTAL HEALTH, DRUG ADDICTION, MEDICAL PROBLEMS AND ALCOHOLISM.

This standard was actively supported by the State Sheriff's Association. In fact, it is almost verbatim from a resolution passed at a recent annual meeting of the Association. The interest of the sheriffs was stimulated by several recent court decisions in the state. One civil suit found the sheriff personally liable for damages after an individual being held for trial was physically assaulted by other inmates; another case was based on the death of a diabetic mistakenly treated as an alcoholic by jail personnel. Although the personal liability was overturned in a higher court, sheriffs are fearful that this will become a pattern for future court action. They feel that compliance with a state standard will provide them with a better defense against such suits.

A review of the literature on classification processes reveals that there is no set of procedures which are applicable to all situations. Those models which do exist emphasize criteria to be met in setting up procedures rather than the procedures themselves. Moreover, the criteria are based on prevailing practices, and there have not been any valid studies that the procedures, in fact, separate socio-medical cases from violent-assaultive ones. Most study efforts have been directed toward the classification problems of prison systems and the emphasis is upon elaborate diagnostic processes that include psychological testing, physical examinations, criminal histories and intensive interviewing over extended periods. Three general models appear in the literature.

- A. COMMUNITY TEAM--The first model is articulated by the National Advisory Commission on Criminal Justice Standards and Goals. Under this scheme the jail serves as a community resource management center. Although the procedures are not clearly spelled out, implementation of the Commission's recommendations would entail establishing a diagnostic team made up of experts who would screen all incoming prisoners as soon after booking as possible. Those with special problems--medical needs, drug addiction, mental disorders, alcoholism--would be diverted to non-secure alternatives. Those remaining under custody would be separated according to the seriousness of the charges, suicidal tendencies, pretrial and posttrial status, age and sex.
- B. PERSONNEL TRAINING--The second model is described by the publications of the National Sheriff's Association and the United States Bureau of Prisons. Both sources assume most of the services will be

provided by jail staff and emphasize the training of personnel to be aware of the indications of drug addiction and alcoholism, supplemented by medical examinations by doctors. Their list of criteria is more detailed than that of the National Commission and includes tendencies towards violence, risk of escape, vulnerability to homosexual attacks, and sex offenders. This model also assumes a formal diagnostic procedure will be established.

- C. INMATE MANAGEMENT--The final model is a variation on the Vera Project and focuses on problems of inmate management rather than inmate needs. Under this system the intake officers are provided with a checklist of attributes which can be used to classify offenders. Included on the checklist are such things as previous offenses, outstanding warrants, offense category, residence, and personal background. It is largely dependent upon the offender as the source of information for any unusual problems.

There is no evidence to indicate the reliability of any of the models in actually identifying inmates with special problems, or their accuracy in distinguishing high security risk individuals from low risk. The first two models are variations on classification schemes used in state institutions and assume that similar results can be produced in shortened time frames with a somewhat different population.

A survey of existing facilities in the state reveals that none of the small jails has an established classification procedure. Only three jails--one large and two medium sized--have classification procedures which include a formal screening process by a three person committee, with one member medically trained. The other large and medium sized jails separate by offense category, if space is available, and rely on the booking officer and security personnel to call attention to any special problems of an individual. Most have medical staff who are on call if needed, or use the emergency room of a local hospital for offenders requiring immediate attention. Moreover, only twenty of the 49 counties have a local hospital or clinic, and ten have no local doctor. The state university has a criminal justice training and education program operated through its Extension Division, but the turnover rate among jail staff averages 40% per year.

Standard 3: ALL OFFENDERS SHALL BE PROVIDED THE OPPORTUNITY TO WORK TOWARDS A HIGH SCHOOL DIPLOMA.

During the debate on jail standards, the Chairman of the House Education and Training Committee cited a U.S. Department of Labor study that showed educational level (as measured by standardized tests) was negatively correlated with criminal behavior when age and substance abuse factors were held constant. This was consistent with testimony from jail administrators and volunteer groups that their most frequent contacts were with persons who had been incorrigible as juveniles in school and whose family and employment background made it almost impossible for them to enter anything other than seasonal and/or temporary employment. A substantial majority of these are "regulars" that are known to the local community but simply seem to cycle through the jail depending on job availability, weather, family situations, and the mood of local law enforcement.

A major issue in the last election for Executive Director of the State Education Association (SEA) was classroom discipline and the over-extended role of professional personnel as "guards", "mentors", and "social justices". This, combined with the increase in teachers' salaries (43% in two years), has precipitated a major reaction in many local communities. At the same time taxpayers see increased property taxes, they are faced with higher student-teacher ratios and fewer activities (drama, field trips, intramural sports) that meet the needs of diverse student interests.

Three alternatives have been identified by the Jail Commission to meet this standard:

- A. CORRESPONDENCE COURSE--One alternative is to give jail inmates access to self-pacing correspondence materials that would enable them to continue their education whether in or out of jail.

In the late 1960's, the Adult Division of the State Department of Education financed the development, field testing and implementation of a correspondence course leading to a GED. This was an attempt to upgrade the education of young (17-25) high school dropouts and persons aged 45-60 from rural areas who did not have access to adult evening classes. The Department of Education provides books and materials, contracts with individuals to review students' work and administers final GED examinations bi-monthly at various sites with their own Certifiers. Each year since 1971, the program has increased the percentage of its estimated target group served or completing from about .5 percent (350) to 1.8 percent (1,150). Average costs have declined from \$825 the first year to

\$780, primarily as a result of increased volume, better scheduling of examinations and fewer reviewers. Rising costs in other areas of education and the federal emphasis on the 3R's for school age children have increased the competition for State resources to the point that the GED program budget did not increase last year. The State Education Commissioner plans to establish a waiting list of applicants and identify priority target groups for enrollments from this list. This is seen as the only feasible way of spreading the scarce resources on an equitable basis.

Incarcerated offenders are eligible to participate (as is any state resident), but little effort has been made to solicit their enrollment. In many ways, their age, education attainment, economic status, etc. are very similar to those for whom the GED program was designed.

- B. LOCAL SCHOOLS--The second alternative is to have local school districts provide education services to persons passing through the jail. This has the advantage of responding to local needs locally and a better chance of program continuity between the jail and post-release status. Most school districts do not run classes outside their own facilities. The State Commissioner of Education has the legal authority to designate certain groups not in school as having "high educational needs". Local districts can include enrollments in any locally initiated classes for these groups in the computation of subsidy payments. Local boards of education are required to collect and report certain baseline statistics (age, employment history, income, family status) to demonstrate that the high need groups are being served. In addition, privately operated programs, certified by the State Department of Education and with the concurrence of the local Board of Education, may be reimbursed for actual costs up to \$150 for each person from one of these priority groups completing a class. Since the program was authorized 3 years ago, migrant farm workers, heads of household working less than full time, and public assistance recipients aged 19-26 have been designated as having high educational needs.
- C. JAIL EDUCATION--The third alternative would require each local sheriff's department to provide the opportunity for jail inmates to work towards a high school diploma. The method for doing this would be left to local discretion. For example, one jurisdiction may choose to contract, while another may hire staff to run classes in the jail or even in a local school.

Standard 4: COMMUNICATION BETWEEN PRISONERS AND PERSONS OUTSIDE ANY JAIL AND COMMUNICATION BETWEEN PRISONERS AND STAFF SHALL BE ENCOURAGED FOR PURPOSES OF RETAINING CONSTRUCTIVE COMMUNITY RELATIONSHIPS, STIMULATING INTELLECTUAL PURSUITS, ASSISTING IN THE ATTAINMENT OF VOCATIONAL OR EDUCATIONAL GOALS AND ASSURING ACCESS TO LEGAL SERVICES. COMMUNICATION IS DEEMED A RIGHT RATHER THAN A PRIVILEGE AND CAN BE ABRIDGED ONLY WHEN THERE IS PROBABLE CAUSE TO BELIEVE THAT FACILITY SECURITY OR THE WELFARE OF THE PRISONERS OR STAFF ARE ENDANGERED.

Standard 4 generated the greatest public debate of all the standards. It was included by the legislature only after they were advised that this reflected the pattern of court decisions over the last seven years and might be imposed on jail administrators in any case. The Sheriff's Association, county prosecutors and county commissioners testified against it on the grounds that it unduly interfered with necessary administrative discretion, and would only lead to state interference with local prerogatives. The standard was supported by the Public Defender's office, the State League of Women Voters, and an ex-offenders' association called Offenders United for Treatment (OUT). Legislative debate was heated with many arguing that implementation of the standard would lead to "coddling" prisoners and a breakdown in security to the point of seriously endangering public safety. The arguments in favor centered on humane treatment of inmates, constitutional rights and the tenor of the recent court decisions.

The minimum requirements for receiving and sending mail, telephone calls, visits from defense attorneys, public officials, and law enforcement personnel have been clearly defined by several recent court decisions in the state. (It should be noted that a spot check of the jails in the state six months ago revealed that only ten of the jails were in full compliance with the court decisions.) Still left to be resolved, however, are the requirements on the visitation rights of family and friends, the frequency of those contacts, receipt of periodicals, business contacts, and packages.

No studies have been done which indicate what effect, if any, open communications have on inmate morale, jail security, maintenance of community ties, or the attainment of vocational and educational goals. The general opinion by state prison administrators who have operated under court orders with similar requirements is that such rules have led to a marked increased in contraband, scheduling difficulties and increased problems of control generally.

DISCUSSION LEADER POINTS: JAIL STANDARDS

STANDARD I: STAFF TRAINING AND EDUCATION

1. High degree of consensus exists among critical actors about the value of staff training and education: general attitudes are clear, the issue is perceived as one of importance.
2. The most appropriate means for achieving compliance with this standard is undetermined.
 - o May be a "mix" of methods (means)
 - o What criteria were used to determine the recommended method or methods?
3. Authority relationships
 - Are established among some of the critical actors (e.g., the staffs within each jail)
 - Between the jails and educational institutions it is not as clear (nor among the entire set of jails)
 - Absence of precedent formal authority relationships should not be a problem: it is likely informal relationships already exist (e.g., due to National Sheriffs Association working relationships)
4. Technology (evidence) is highly reliable:
 - Expert opinion
 - Operational experience - similar program run in a similar jurisdiction
 - Documents are fairly reliable (.80 confidence level)
 - Theoretical cause-effect relationship is posited, and has been tested, indicating a significant relationship

STANDARD II: INMATE CLASSIFICATION

1. Consensus among critical actors is high: classification should be a priority.
2. Critical actors:
 - Sheriffs - high degree of consensus; precedent working relationships

- Jail personnel - unknown; precedent working relationships exist within jails
 - Community resource providers - unknown
3. Evidence that the means will be successful is low: "no evidence to indicate reliability of any of the models in actually identifying inmates with special problems, or their accuracy in distinguishing high security risk individuals from low risk"
- Models from literature are untested; rather, descriptive (based on prevailing practises)
 - Expert opinion cannot be relied upon to provide an assured, agreed upon method.
 - No theoretical basis for classification schemes.
 - No reliable evidence from other jurisdictions.
4. Method for achieving standard is not readily evident:
- What did you recommend?
 - What criteria were used to determine the recommended method or methods?

STANDARD III: OFFENDER EDUCATION

1. Consensus among critical actors is varied, but generally low.
- Jail administrators, volunteers testified that education is needed-- but the study was from an outside agency (DOL)
 - Department of Education does not perceive offenders as a priority population e.g., establishment of waiting lists; competition of special adult programs with 3 R's for children; correspondence course does not cater to age group which probably includes most offenders (26-44); no effort to solicit participation of incarcerated offenders (alternative 1)
 - Local initiative is not likely because most jurisdictions do not run classes outside of educational facilities (alternative 2)
 - Localities' priority groups do not include offenders; local Boards of Education are rewarded (subsidized) for servicing priority groups.

2. The methods being considered are highly reliable: given that an individual has a chance to participate in a program, it is likely he or she will be able to progress toward a GED.
3. Method for achieving the support among the critical actors is not specified:
 - What did you recommend:
 - What criteria were used to determine the recommended method or methods?

JAIL STANDARDS REVIEW CHECKLIST
STANDARD I: STAFF EDUCATION AND TRAINING

1. How many individuals, and how many organizations, will be necessary to implement the training or education alternative?
2. Do these actors have a precedent for working together? Is this formal or informal?
3. Do the significant actors have positive or negative opinions about the importance of staff training or education, or the means suggested for achieving it? How intense are their opinions?
4. How reliable are the analytic documents which support the standard?
5. Do "experts" in the field (e.g., the blue ribbon study team) agree that the methods being considered are good ways to provide staff training. Is one method more effective than the others (per the experts)?
6. Do you trust the experts' opinions?
7. How difficult will it be to get the administrative procedures operating that are necessary for implementing this standard?
8. Is there a precedent to suggest the measures being considered will work?

JAIL STANDARDS REVIEW CHECKLIST
STANDARD II: INMATE CLASSIFICATION

1. Who are the critical actors with regard to this standard?
2. Is the support of any group, other than the Sheriff's Association, necessary for implementing classification procedures?
3. Who will administer classification procedures in the jails?
4. How important is this issue to the critical actors?
5. How clear cut are their opinions about how it should be handled?
6. Do correctional experts agree upon a standardized method for separating inmates by security risk and program needs?
7. Is there a precedent to draw upon from the successful experiences of other operating agencies?
8. How reliable are the three models from the literature, with regard to explaining why the procedures they suggest should successfully identify high and low risk individuals?
9. Will it be a complicated process to initiate classification procedures?

JAIL STANDARDS REVIEW CHECKLIST
STANDARD III: OFFENDER EDUCATION

1. Who are the critical actors with regard to this standard?
2. Do they have a previous tradition of working together?
3. Do these actors feel the educational needs of incarcerated offenders are a priority?
4. Are the critical actors in agreement about how inmate education ought to be handled?
5. Do "experts" in the field (e.g., the blue ribbon study team) agree that the methods being considered are good ways to provide offender education?
6. Do you trust the experts' opinions?
7. Is there a precedent to draw upon from the successful experiences of other operating agencies?
8. How reliable are the analytic documents and data gathered about adult education which are being used to select an offender education alternative?
9. How firmly established is the theory which suggests education may have a beneficial impact upon offenders?

COMMISSIONER'S BIOGRAPHICAL INFORMATION

Education: B.S., Sociology
M.S., Social Policy and Social Change
Course work completed for Ph.D. in Community Organization
Dissertation Topic: Organizational Mechanisms for Client-
Initiated Social Service Delivery

Experience:

1975 to Present: Commissioner, Department of Corrections
1970 to 1975: Assistant Commissioner, Institutional and Community
Treatment Programs, Department of Corrections
1967 to 1970: Coordinator, Community Residential Facilities,
Department of Corrections
1967: Planning Specialist, Community Services Division,
Department of Corrections
1964 to 1966: Management Analysis, Department of Social and Health
Services

Professional Affiliations/Awards:

Board of Directors, Crossroads House
Honorary Member, Offenders United for Treatment (OUT)
Past President, State Association of Social Workers

COMMISSIONER'S BIOGRAPHICAL INFORMATION

Education: B.S., Psychology
"Effective Public Speaking", Extension Division
State University at Evanston
"Working With Task Groups", Extension Division
State University at Evanston

Experience:

1975 to Present: Commissioner, Department of Corrections
1972 to 1975: Assistant Commissioner, Management and Institutional
Services, Department of Corrections
1971 to 1972: Special Assistant to the Commissioner, Department of
Corrections
1967 to 1971: Production and Sales Coordinator (Furniture), State
Prison Industries
1964 to 1967: Coordinator, Alcoholism Treatment Programs, Sitz
Manufacturing Industries, Inc.
1962 to 1964: Director, Metro Junction Work Release Center (set up
program)

Professional Affiliations/Awards:

President, Young Managers in State Government
Member, Citizens United for Social Services (CUSS)
Member, State Association of Social Workers
Selected for Outstanding Young Executive (1966) by Junior Chamber
of Commerce

COMMISSIONER'S BIOGRAPHICAL INFORMATION

Education: B.A., American Studies

Coursework completed for M.S. in Comparative Political Systems

Thesis Topic: The "Red Menace" in the 21st Century: Some
Hypotheses and Deductions

Experience:

1975 to Present: Commissioner, Department of Corrections
1973 to 1975: Deputy Director for Field Services and Community
Correction, Department of Corrections (in another
state)
1970 to 1973: Regional Administrator, Region 1, Department of
Corrections (in another state)
1970: Manager, Merilee Johnson for Senate Campaign
1967 to 1969: Director, Center for Residential Care of the Physically
Handicapped (in another state)
1966 to 1967: Supervisory Employment Placement Officer, Department
of Vocational Rehabilitation
1963 to 1966: Employment Placement Officer, Department of Vocational
Rehabilitation
1962 to 1963: Manager, District Office of Congresswoman Merilee
Johnson
1962: Secretary-Treasurer, Johnson for Congress Campaign

Professional Affiliations/Awards:

Citizens' Advisory Group to the County Board
Past Chairperson, Board of the Affiliated Community Service
Organizations
American Political Science Association
Member, Governor's Task Force to Reorganize Social Services

COMMISSIONER'S BIOGRAPHICAL INFORMATION

Education: B.S., Business Administration and Accounting
M.P.A., Organizational Psychology
D.P.A.

Dissertation: "The Long Term Effects of Regularized Training
on Improving Efficiency and Staff Morale in
Public Agencies"

Experience:

1975 to Present: Commissioner, Department of Corrections
1972 to 1975: Assistant Director for Management Systems, Department
of Administration and Finance
1971 to 1972 Supervisor, Computerized Accounting Unit, Department
of Corrections
1966 to 1971 Instructor in Management and Organizations, Law
Enforcement Training Academy

Professional Affiliations/Awards:

American Society of Public Administration
Governor's Task Force on Government Reorganization
American Society of Training Directors
Phi Epsilon Psi (National Honorary Society for Accountants over
5' 2")

JAIL STANDARDS REPORTING FORMAT
STANDARD I: STAFF EDUCATION AND TRAINING

1. What method do you recommend for achieving compliance with this standard? How will you know when compliance has been attained?

2. How difficult will it be to administer your recommendation (e.g., are any special procedures required)? Will it require many resources or a great deal of time?

3. How realistic is it to assume your recommendation will improve the quality of jail staff?

JAIL STANDARDS REPORTING FORMAT
STANDARD II: INMATE CLASSIFICATION

1. What method do you recommend for achieving compliance with this standard? How will you know when compliance has been attained?

2. How difficult will it be to administer your recommendation (e.g., are any special procedures required)? Will it require many resources or a great deal of time?

3. How realistic is it to assume your recommendation will produce successful classification procedures in the jails?

JAIL STANDARDS REPORTING FORMAT
STANDARD III: OFFENDER EDUCATION

1. What method do you recommend for achieving compliance with this standard? How will you know when compliance has been achieved?
2. How difficult will it be to administer your recommendation (e.g., are any special procedures required)? Will it require many resources or a great deal of time?
3. How realistic is it to assume that your recommendation will provide offenders the opportunity to earn their GEDs?

JAIL STANDARDS IMPLEMENTATION CASE STUDY

RECOMMENDATION TO THE COMMISSIONER

1. STANDARD SELECTED:
2. RECOMMENDED APPROACH (State briefly the approach to implementation you recommend. This may include information on timing, numbers, etc. Then, outline the major actions necessary, e.g., issue RFP, negotiate interagency agreement, hold public hearings on new regulations, etc.):
3. WHAT RESOURCES WILL BE NEEDED? (People, facilities, information, etc.):
4. MAJOR IMPLEMENTATION PROBLEMS (e.g., getting everyone's agreement, local school boards are unknown, U.S. Attorney wants publicity, verifying course attendance, difficult to explain the standard, wide variation in jail size):
5. HOW WILL YOU MEASURE COMPLIANCE WITH THIS STANDARD?

STEP 2

"TECHNOLOGICAL UNCERTAINTY"

- I. PUBLIC POLICY: Rarely the product of a rational choice process, i.e., identification of ends; search for alternatives; selection of means which are most likely to maximize goals.
 - A. Public decisions tend to be collective, incorporating competing goals:
 1. E.g., liberals and conservatives supporting a determinate sentencing bill in the legislature.
 2. E.g., a salary schedule in an agency with an employee's union.
 - B. Personality variables and time limitations.
 - C. Knowledge of means-ends insufficient; personal experience and preference just as relevant:
 1. Almost any correction program presents these tradeoffs.
 2. E.g., commissioner adopts work release because he feels it ought to be beneficial.
 - D. Politics of situation makes program popular (or unpopular) for irrelevant reasons:
 1. E.g., the cost savings of community programs (more expensive if probationers are diverted instead of alternative to incarceration).
 2. E.g., The national reputation of governor or commissioner as an "innovator" .
 - E. It is unclear that any one person has authority to make the decision:
 1. E.g., drug treatment program which includes possible release after care.
 2. E.g., assignment of offenders to Halfway Houses.

II. DECISIONS: Likely to evolve from several choices rather than one.

- A. General direction may come from agency head, task force, governor's office, the legislature; e.g.,
 - 1. Authorization for community programs.
 - 2. Mandated MBO system.
 - 3. Development of a master plan.
 - 4. Reduce (or increase) time spent on PSI's.
- B. Likely to be high degree of uncertainty about implementation.
 - 1. What are the objectives of a master plan?
 - 2. How do you reduce time spent on PSI's?
 - 3. Will there be opposition in legislature to a community corrections program? How long will the governor remain committed to community corrections?
- C. Successful implementation means developing strategies for handling uncertain situations; e.g.,
 - 1. An advisory board of local citizens and politicians for a local residential program.
 - 2. Information on how other agencies have reduced time spent on PSI's.
 - 3. A pilot program for community resource management approach to reduce the negative impact if the program fails.
- D. Strategies must be appropriate to the origin of the uncertainty.
 - 1. Task force of politicians inappropriate if the problem is how to implement a management information system.
 - 2. Developing a careful staff monitoring system for a community program inappropriate if problem is opposition of local officials.
- E. First task is to identify origin of uncertainty.

III. TWO SOURCES OF UNCERTAINTY: TECHNOLOGICAL AND POLITICAL.

- A. Technology is the means for carrying out the program—the production process.

1. How confident are you that community residential programs will increase reintegration of offenders?
 2. Do we know enough to design a computerized record system which will increase the quality and timeliness of the information available for decisions?
 3. Requires strategies which will increase information about the operations of the program present and future--e.g., policy analysis; pilot project; close monitoring.
- B. Political uncertainty is dependent upon the degree of consensus among the critical actors about the desirability of the proposed program.
1. Are the judges in agreement about need for a community resource management approach to probation or do some feel it is a frill?
 2. Do the union leaders accept the need for a performance measurement system or do they see it as a threat?
 3. Requires strategies which will emphasize resolving disagreements--e.g., task forces; liaison committees; consultation sessions.

IV. RELIABILITY OF THE TECHNOLOGY.

- A. Policy analysis is directed toward increasing reliability of the technology (refer to Issue Paper components), because it:
1. Focuses on the means for reaching an objective.
 2. Gathers all the information possible within the time frame about those means.
 3. Assesses which means is most likely to reach the desired objectives.
- B. Problem: How do we judge whether the proposed program will work or not?
1. We must regularly adopt programs whose technology is not very reliable--counseling and rehabilitation; parole decision and recidivism.
 2. Need guideposts to compare one means with another, and where the technology is weak.

3. Can computerize records; but less sure how to ensure accuracy of entries.

V. COMPONENTS OF THE RELIABILITY OF TECHNOLOGY FORM: An indication of how extensive is our knowledge and experience with the proposed program. (Commissioner's car worked on in prison shop.)

- A. Expert opinion--Are those knowledgeable in the field in agreement that this is an effective approach?
 1. Experts may be wrong; but if support is widespread it provides some clues the proposal is sound.
 2. Be sure the "experts" know about this program.
 3. Assume opinion based on objective data rather than feelings.
- B. Operating experience--Is there some familiarity with new program by those who are going to administer it?
 1. If program is all new, personnel likely to have trouble understanding it.
 2. Low experience greater the problems of training.
 3. E.g., using security personnel as counselors.
- C. Source of the evaluation--Can you trust the people reporting on the proposed program to be as objective as possible?
 1. Judgments enter into doing analysis.
 2. E.g., recommendation to change the salary schedule to improve morale comes from the union.
- D. Complexity of the change--How many contingencies will have to be taken into account for program to succeed?
 1. More complicated the change the more causal links involved.
 2. Introducing a recreation program in a jail is far different from implementing an intake classification system for security and program assignments.
- E. Reliability of the data--Is there any objective evidence, systematically gathered, which will tell you the program is likely to work?

1. If the evidence is based on impressions, or "feelings," can place little reliance on the technology; may or may not work.
2. Goes back to essence of policy analysis--collecting data for a decision.
3. Reforms often in this category--will determinate sentences reduce the feelings of uncertainty among inmates? No evidence.

F. Analytical support--Can you reasonably expect that the proposed program will "cause" the expected effects?

1. E.g., counseling may help an inmate with adjustment to prison but is it likely to change his behavior upon release when we know the importance of all the other influences on his life--job, family, friends, etc?
2. E.g., why should reorganization into a separate department of corrections have any affect on programs?

VI. RELIABILITY OF THE TECHNOLOGY FORM: Allows you to compare alternative means, and identify the risks involved in each.

- A. All alternatives are likely to have weaknesses.
- B. Strategies must deal with those weaknesses.

VII. ROLE OF MANAGER AND ANALYST

- A. Analyst has the technical knowledge and skills.
 1. Consultant and advisor.
 2. Design ways of handling risk.
- B. Manager should understand limits to the knowledge.
 1. Need not know details.
 2. Understand resource implications of managing technological risk.
 3. Be aware of policy implications of technology (technology never neutral).

RELIABILITY OF THE TECHNOLOGY

CHARACTERISTICS OF THE EVIDENCE	R A T I N G					A L T E R N A T I V E S								
	H I G H		M E D I U M		L O W									
	1	2	3	4	5	A	B	C	D	E				
1. EXPERT OPINION	PROPOSED ACTION IS GENERALLY ACCEPTED AS A SOUND APPROACH TO THE PROBLEM. THE OPINIONS CAN BE DOCUMENTED THROUGH PUBLICATIONS, PAPERS, OR ORAL TESTIMONY.		LITTLE HAS BEEN WRITTEN ON THE SUBJECT AND NO OUTSIDE EXPERTS WERE CONSULTED FOR THEIR REACTIONS.											
2. OPERATING EXPERIENCE	PROPOSED CHANGES ARE VARIATIONS ON ESTABLISHED AGENCY PROCEDURES; OR, THEY HAVE BEEN USED IN OTHER AGENCIES IN THE STATE OR LOCAL GOVERNMENT.		NEW PROGRAM IS HIGHLY EXPERIMENTAL. NO ONE WITHIN THE AGENCY HAS ANY EXPERIENCE WITH IT. IT HAS NOT BEEN TRIED ELSEWHERE EXCEPT ON A VERY LIMITED BASIS.											
3. SOURCE OF THE EVALUATION	ORIGINATORS OF THE PROPOSAL ARE GENERALLY ACCEPTED AS DEPENDABLE WITH A GOOD SENSE OF WHAT WILL NOT WORK. THIS MAY BE RESEARCH STAFF, THE SOURCES THEY USE, OR EXTERNAL ORGANIZATION.		THE PROPONENTS OF THE CHANGE ARE CONSIDERED TO BE IRRELEVANT TO OPERATIONS, OR WORSE, WRONG MORE OFTEN THAN NOT.											
4. COMPLEXITY OF THE CHANGE	THE SUGGESTED ACTION IS LIMITED IN SCOPE. THE DETAILS ARE CLEAR. FEW CHANGES IN PROCEDURES REQUIRED.		THE PROGRAM WILL OPERATE ON A BROAD SCALE, REQUIRING SHIFTS IN ADMINISTRATIVE PROCEDURES, CLIENT BEHAVIOR, STAFFING PATTERNS, AND PERSONNEL SKILLS.											
5. RELIABILITY OF THE DATA	HEAVY RELIANCE ON QUANTIFICATION IN DOING THE ANALYSIS. DOCUMENTATION IS EXTENSIVE AND RELATIVELY COMPLETE. MEASURES FOR CRITICAL VARIABLES ARE CLEAR.		MOST DATA COME FROM SECONDARY SOURCES AND INFORMED OPINIONS. MANY VITAL PIECES OF DATA ARE MISSING OR INCOMPLETE. MUCH OF THE REPORT IS SPECULATIVE OR DEPENDENT UPON LOGICAL INFERENCE ONLY.											
6. ANALYTICAL SUPPORT	THE PROPOSAL IS BASED ON AN ESTABLISHED THEORETICAL BASE. THE CAUSAL LINKS UNDERLYING THE ACTION TAKEN AND EXPECTED OUTCOMES ARE CLEAR AND WELL TESTED. KNOW WHY IT WILL WORK.		THERE IS LITTLE THEORY TO SUPPORT THE EXPECTED RELATIONSHIPS, OR THE THEORY HAS NOT BEEN WELL TESTED. THE CASUAL LINKS ARE VAGUE OR UNSPECIFIED. MAINLY A LIST OF HOPED FOR OUTCOMES.											
					T O T A L									

STEP 3

JAIL STANDARDS IMPLEMENTATION RISK ASSESSMENT
(Discussion Leader Points)

Standards I: Staff Training and Education

Technology (evidence) is HIGHLY RELIABLE:

Available

Well Tested

Expert opinion agrees on its reliability

A neighboring jurisdiction's operational experience is a precedent

Evaluation studies (detailed cost analyses of reimbursement formulas) are available; these documents have .80 confidence level

Administrative decisions will be necessary for achieving this standard.

(What formula to use, who will provide education services, who will administer funds).

Standards II: Offender Classifications

Technology is available, but untested: "No evidence to indicate reliability of any of the models in actually identifying inmates with special problems, or their accuracy in distinguishing high security risk individuals from low security risk individuals."

Models based on experiences rather than evaluation or test results; therefore, no theoretical basis exists for classification schemes.

Models are primarily descriptive (based on prevailing practices).

None of the models are appropriate for small jails.

No reliable evidence from other jurisdictions.

Very few of the jails have any experience with classification.

Leap of faith that what works in state institutions with long term offenders will work in jails with high turnover rates.

High turnover rate among jail staff limits utility of training.

Low reliability of technology will require testing of alternative schemes before totally implementing any of them, perhaps on pilot basis.

STEP 5

"POLITICAL UNCERTAINTY"

I. ORIGINS OF POLITICAL RISK

- A. Political risk arises from disagreement (conflict) over the reason for adopting the program.
- B. May have technically sound alternative but it raises symbolic issues among people, e.g.,
 - 1. Determinate sentencing for many corrections people.
 - 2. Changes in operating procedures threaten perceived status of line personnel.
 - 3. Computer terminals for information system frighten long term clerks.
 - 4. Territorial commitments of mental health director when asked about converting unused hospital space into prison facilities.
- C. Disagreements may be a product of misunderstanding; more likely the result of different values or priorities.
 - 1. Those who think of punishment vs. those who think of rehabilitation.
 - 2. A governor who wants to "keep things quiet" in the prison vs. a corrections commissioner who has programmatic concerns.
 - 3. Managers who are concerned with freedom to assign personnel according to job need vs. unions who are concerned with job security, salaries, and potential for discriminatory practices.

II. SYMBOLISM OF CORRECTIONS: Makes it impossible to avoid political risk.

- A. Managers cannot rely on technical expertise to insulate themselves.
 - 1. Doctors have done this with medical administration.
 - 2. School administrators tried it and failed.
- B. Everyone feels qualified to set objective and prescribe procedures for corrections.

- C. No overriding goal or technology which distinguishes corrections from other endeavors.
 - 1. Debate among corrections people of rehabilitation vs. public safety.
 - 2. How much security is required?
 - 3. Is probation a punishment, service, prison without walls?
- D. High visibility of negatives; low visibility of positives, e.g.
 - 1. Escapes, murders committed while on probation or parole, riots.
 - 2. No constituent group supporting successful offenders.
 - 3. Juveniles have positive symbolic value; recent publicity surrounding violent juvenile crime undermines this.
- E. Given the disagreements over corrections' objectives it is critical to identify accurately the potential conflict for each alternative.
 - 1. Easy to assume that all proposals will involve intense conflict.
 - a. Suspicious nature of many corrections officials.
 - 2. Strategies should be appropriate to the kind of conflict, e.g.
 - a. Introduce work release centers and assign offenders on basis of prison overcrowding which increases risk of negative publicity in the community.
 - b. Establish a citizens advisory board for staff training when greatest resistance is unions.
 - c. Go into community to educate citizens on Halfway Houses when real threat is funds from the legislature.
- F. Rather than talk about specific kinds of political situations--fighting the legislature, dealing with community leaders, bargaining with unions, etc.--we will concentrate on the general characteristics of a disagreement which need to be recognized.

III. "POLITICAL SITUATION": One in which there is a disagreement between two or more people with no higher authority or value to resolve the dispute. The problem becomes analyzing under what conditions is it easy or difficult to reach a solution.

A. Two conditions affect potential for resolution: Is compromise possible (zero-sum vs. non-zero-sum); and the intensity of the conflict.

B. If compromise is not possible (zero-sum) then neither side can afford to lose.

1. Symbolic issues are zero-sum, e.g.

a. Church disputes.

b. Punishment vs. providing services to inmates.

c. However, may use vague, higher symbol to resolve dispute, e.g., restitution and Halfway House.

2. Substantive issues possible to compromise, e.g.,

a. Trading personnel or inmates among institutions.

b. What kind of training will be given staff?

c. What services will be included in a Halfway House program?

3. Frequently, what is substantive in one setting is symbolic in another, e.g.

a. Location of new prison in rural community--jobs, local revenue--vs. location in an urban area--"bad" people being brought into our community.

C. The intensity affected by the perceived stakes of the participants in the outcome.

1. Those who stand to lose have higher stakes than those who stand to gain, e.g.

a. Halfway House threatens community residents; only helps corrections department add to its goal achievement.

b. Reorganization threatens jobs.

D. Finally, the setting of the dispute can increase or decrease potential for resolution.

1. Is there an established means for communication?
 - a. Legislatures.
 - b. Ad hoc community leaders have no thought of tomorrow.
 - c. Bardach describes needs of participants in health program to maintain professional interrelationship, page 237 ff.
2. The more people who must be accommodated the less likelihood of resolution.
 - a. Gaining the cooperation of mental health, education and sheriffs in running a community center.
 - b. Jail standards discussion earlier in this unit.
3. However, if battle lines are clearly drawn (two-person or coalition) greater the likelihood of zero-sum-high stakes e.g.,
 - a. Will there be a community center or not?

IV. CONSENSUS AMONG THE CRITICAL ACTORS FORM: Designed to permit an assessment of the kind of conflict likely to arise for each alternative and the difficulty of resolving it.

- A. Number of critical actors or organizations—the more people involved the greater likelihood of a veto.
- B. The authority relationships—Is there a means for bringing everyone together, e.g.
 1. Two divisions arguing over who will operate the educational program.
 2. In Halfway House disputes rarely a higher authority to bring everyone together.
- C. Communications links--Have the individuals or organizations been in regular contact and built a mutual trust, or at least know who they are bargaining with (even enemies can admire each other)?
 1. Easier to deal with long term legislative staff than a new man in governor's office.
- D. Attitudes toward the issue--How much general consensus or agreement already exists?

E. Specificity of opinions--the more general the attitudes the more likely compromises can be struck. Specific opinions difficult to reconcile, e.g.

1. Making offenders productive members of society vs. prison industry in a small town.

F. Importance of the issue--direct translation of "stakes", e.g.

1. Community resource management approach only affects operating style; abolition of parole affects jobs.

V. SUMMARY.

A. Most change will have some factors which complicate political situation.

B. The management problem is to devise strategies which will convert zero-sum to non-zero-sum and lower the stakes in the outcome.

CONSENSUS AMONG THE CRITICAL ACTORS

CHARACTERISTICS OF THE CRITICAL ACTORS	R A T I N G					ALTERNATIVES					
	HIGH		MEDIUM		LOW		A	B	C	D	E
	1	2	3	4	5						
1. NUMBER OF CRITICAL ACTORS OR ORGANIZATIONS	A FEW KEY INDIVIDUALS LOCATED IN ONE OR TWO AGENCIES, e.g., THE DEPARTMENT OF CORRECTIONS AND THE GOVERNOR'S OFFICE.		MANY INDIVIDUALS AND AGENCIES WHO WILL BE INVOLVED IN OR AFFECTED BY IMPLEMENTATION, e.g., LEGISLATORS, GOVERNOR, BUDGET, SOCIAL WELFARE, ETC.								
2. THE AUTHORITY RELATIONSHIPS	THE FORMAL AUTHORITY RELATIONSHIPS AMONG ALL OR MOST OF THE ACTORS IS CLEARLY ESTABLISHED. AN ESTABLISHED MEANS FOR RESOLVING DISAGREEMENTS EXISTS.		THE ACTORS ARE NOT PART OF THE SAME AUTHORITY STRUCTURE EXCEPT IN MOST FORMAL SENSE. DISAGREEMENTS MUST BE RESOLVED ON AN AD HOC BASIS, (e.g., DOC AND LOCAL COMMUNITY).								
3. COMMUNICATIONS LINK	HISTORY OF FREQUENT INTERACTIONS AMONG THE ACTORS. THESE MAY BE FORMAL OR INFORMAL. KEY IS THERE AN ESTABLISHED WORKING RELATIONSHIP.		INFREQUENT OR NO PREVIOUS CONTACT. LITTLE SHARING OF INFORMATION ON A FORMAL OR INFORMAL BASIS.								
4. ATTITUDES TOWARD THE ISSUE	GENERAL AGREEMENT AMONG THE CRITICAL ACTORS ON WHAT THE AGENCY OUGHT TO BE DOING.		WIDE DIVERGENCE OF OPINION ON THE VALUE OF THE PROPOSED ALTERNATIVE RANGING FROM COMPLETE REJECTION OF THE IDEA TO COMPLETE AGREEMENT. INCLUDES BOTH THOSE WHO PERCEIVE A THREAT TO THEM AND THOSE WHO SEE ADVANTAGES.								
5. SPECIFICITY OF THE OPINIONS	THE ACTORS HAVE GENERAL, RATHER VAGUE, POSITIONS RATHER THAN SPECIFIC, WELL- DEFINED ATTITUDES.		MANY OR ALL OF THE ACTORS HAVE CLEARLY STATED, WELL- ESTABLISHED OPINIONS ABOUT WHAT SHOULD BE DONE.								
6. IMPORTANCE OF THE ISSUE	FOR MOST OF THE ACTORS THE PROBLEM IS MARGINAL, NOT SEEN AS AFFECTING THEM. EVEN IF THEY ARE THREATENED BY THE ALTERNATIVE, IT IS SEEN AS LARGELY A PERIPHERAL CONCERN.		OPINIONS ARE INTENSELY HELD BY MOST OF THE ACTORS. THE ALTERNATIVE IS VIEWED AS HAVING A DIRECT AFFECT ON VITAL CONCERNS OF THEIRS BECAUSE OF ITS IMPACT ON THEIR JOBS, OR PROGRAMS, OR POLICY COMMITMENTS THEY MAY HAVE.								
TOTAL											

MODULE 2: THE OUTCOMES OF POLICY ANALYSIS

UNIT 3: MANAGING RISK AND IMPLEMENTATION STRATEGIES

Risk management and the development of implementation plans and strategies are critical follow-ons to the Policy Analysis process. In this unit, strategies for managing technological and political risk are identified and integrated into an Implementation Document which participants can use at their agency. While strategies are generic, each participant is expected to tailor them to specific agency needs, based on a unique combination of technological and political factors. Manager and analyst work closely together here since politically-oriented activities take place within the technological constraints of the project. The Implementation Document provides a method of matching strategies to the risk involved and broadly defining the tasks and resources necessary for implementation. Tasks are prioritized and a contingency schedule is developed.

OBJECTIVES

1. To introduce risk management as an implementation technique through the development of strategies to address previously defined areas of technological and political risk.
2. To reinforce the concept of the interrelationship of risk factors and multiple strategies.
3. To provide a format (Implementation Document) for categorizing and prioritizing strategies; to develop an implementation workplan.

CONCEPTS

1. Strategies for Managing Technological Risk: The assessment of the technological weaknesses for a policy study is used as a basis for developing strategies to manage that risk during implementation. A low technological risk implies strategies which are more administrative in nature—policy directives, procedures manuals, contracts--while more uncertain technology may call for stringent program monitoring, program phasing, pilot projects or even additional policy analysis.
2. Strategies for Managing Political Risk: These are of a different order but no less critical than prior strategies. Areas where support or consensus regarding the program is lacking were identified earlier. Here, specific techniques for improving consensus are developed. These may include task forces, liaison committees, public education and interagency

agreement and are designed to diffuse opposition and/or gain support. Four major types of strategies may be used: facilitative strategies are used when there is some willingness on the part of the opposition to reach a solution or compromise; reeducative strategies are employed when time permits and when opposition is not overpowering; persuasive strategies are the most highly political and will vary by the group or person in opposition; power strategies are "take-over" oriented and succeed when resources are available to carry out a mandate.

3. The Implementation Document. This provides a method for recording areas of risk and generic strategies to manage that risk. The development of priorities, as well as task analysis, resource needs and scheduling provides a monitoring device as well as a plan for implementation. While the document is designed to permit flexibility, a clear articulation of implementation problems and activities is critical to a smooth process. While the tactics underlying a selected strategy may not be made explicit, overt recognition that problems exist and are susceptible of task analysis (management) should facilitate implementation.

PROCESS AND MATERIALS

Step 1

Managing Technological Risk. Lecture addressing strategies and the concept of technological reliability as a decision tool. Participants are introduced to risk management as a preferable option to risk avoidance.
(Time: 45 minutes)

- Lecture: a. Strategies for Managing Technological Risk
- Readings: a. Chaiken, J. et al, Criminal Justice Models: An Overview, Chapter 7
- b. Schick, Allen "Beyond Analysis"
- c. Burnham, R. William, "Modern Decision Theory and Corrections", Decision-making in the Criminal Justice System: Reviews and Essays, pp. 75-238
- d. Harris & Spiller, After Decision: The Implementation of Judicial Decrees in Correctional Settings
- e. Bardach, Eugene, The Implementation Game, Chapters 2,5
- f. Lansing, et al, "Unit Management: Implementing a Different Correctional Approach", pp. 43-49
- Notes: a. Strategies for Managing Technological Risk
- Forms: a. Completed "Reliability of the Technology" rating sheet

Step 2

Managing Political Risk. Lecture on strategies to manage, rather than avoid, problems arising from lack of consensus. The probability of success of an undertaking is improved by explicit recognition of and attempts to gain support and improve perceptions of the critical actors. A major concept stressed here is the integral part politics plays in the public process. (Time: 45 minutes)

- Lecture: a. Strategies for Managing Political Risk
- Readings: a. Zaltman, Strategies for Planned Change
- Notes: a. Strategies for Managing Political Risk
b. Zaltman excerpt
- Forms: a. Completed "Consensus Among the Critical Actors" rating sheet

Step 3

The Risk Assessment Grid. A small group activity in which participants locate their risk ratings on a grid. Stress is on the interrelationship of political and technological risk. Participants meet in small groups (8-12) and use the scores from their "Reliability of Technology" and "Consensus Among the Critical Actors" rating sheets to plot each of their alternatives on the Risk Assessment Grid. (A brief introduction of the activity is made by the discussion leader.) Discussion leader may enter one alternative for each agency team on an overhead for illustrative purposes. Stress is placed on adopting strategies to manage the risk associated with the preferred alternative, not to select (necessarily) a less risky alternative. The Grid provides reinforcement of the interrelationship of political and technological risk and serves as a strategic planning device. Following placement, participants discuss possible strategies to address their areas of risk. Each team should emerge from the session with a "first cut" at individualized strategies. A form displaying the grid and generic strategies is provided ("Strategies for Managing Risk"). Session ends with a closing lecture on the Risk Assessment Grid. (Time: Group discussion 60 minutes; lecture 20-30 minutes)

- Lectures: a. Introduction to the Risk Assessment Grid
b. Review and Summary of Risk Assessment Grid
- Readings: a. Bardach, Eugene, The Implementation Game, Part III
- Notes: a. Strategies for Managing Risk
b. Completed rating sheets
c. Completed executive summaries
- Forms: a. Risk Assessment Grid

Step 4

Implementation--Introduction. A large group lecture relates risk to task analysis, introduces prioritization of strategies and tasks and reinforces contingency planning as techniques for maintaining flexibility and control of the implementation process. Stress is less on filling out forms and more on planning for implementation (where between 50% and 90% of the policy analysis effort may rest). (Time: 30-40 minutes)

- Lecture: a. Implementation
- Readings: a. Lansing, et al, "Unit Management: Implementing a Different Correctional Approach"
- b. Harris & Spiller, After Decision: The Implementation of Judicial Decrees in Correctional Settings
- Notes: a. Implementation Document Outline
- b. Summary Form I
- c. Task and Priority Analysis II

Step 5

Team Development of Implementation Document. Agency teams use their assessments of technological and political risk and the strategies developed during the session on risk assessment to prepare an Implementation Document. The summary form provides a recap of risk areas and strategies. Strategies are then categorized (administrative, information, political) and prioritized according to their contribution to successful implementation. Major tasks and resources are identified and a contingency schedule is developed. Staff serve as resources during this activity. Emphasis is on a "thinking through" of the implementation process, rather than a detailed form. (Time: 60-90 minutes)

- Notes: a. Implementation Document Outline - Guide
- b. Completed Risk Assessment rating sheets
- c. Completed Risk Assessment Grid
- Forms: a. Implementation Document Outline: Summary Form I
- b. Implementation Document Outline: Task and Priority Analysis II
- c. Implementation Document Outline: Contingency Schedule II

Step 6

Special Sessions. These are optional sessions designed to reinforce the concepts of risk management (through strategies) and implementation planning. Practitioners are suggested as outside speakers; preferably one person with experience with implementing an effort with high technological risk, and one who faced major political problems. Halfway house directors are suggested as one possibility for the latter. A possible format is

40-60 minutes for formal speaker remarks, followed by a similar time period for group questions and discussion. (Staff can facilitate here, since they are familiar with participants' projects.) If speakers addressing both considerations are used, a follow-up discussion with joint respondents is suggested. The discussion leader should further summarize and relate these sessions to other workshop content in his closing remarks.

STEP 1

STRATEGIES FOR MANAGING TECHNOLOGICAL RISK

I. RELIABILITY OF TECHNOLOGY:

- A. The purpose is to identify where special care should be taken to reduce the risk of failure.
- B. Trying to predict effects of program; some more dependable than others.
 - 1. Classification according to security requirements vs. classification according to program.
 - 2. Vocational rehabilitation vs. interpersonal relations.
- C. All changes of any magnitude involve some risk of failure as no technology is 100% sure.
 - 1. Training probation officers in conducting PSI's breaks down because of conflict between social work values—helping-- and security requirements in sentencing.
 - 2. Computerized information system inaccurate because institutional personnel do not have time or incentive to ensure accuracy of entries.

II. RISK OF FAILURE CANNOT BE AVOIDED.

- A. Risk can be managed to minimize effects of technological uncertainty.
- B. In approaching implementation, need to develop strategies which will take account of uncertainty.
 - 1. Contracting for juvenile service--need a careful monitoring system.
- C. If reliability of technology is high, can concentrate efforts on administrative approaches.
 - 1. Introducing short form for PSI's; can use briefing sessions for personnel, policy directives, revision of manual of procedures.

D. If reliability of technology is low, must take into account future contingencies.

1. Restitution program calls for regular review of progress through evaluation and/or monitoring pilot project to weigh effects; perhaps limit the participants to certain types of offenses.

III. ADMINISTRATIVE STRATEGIES:

A. Assumes personnel will know what to do and how to do it if objectives are made clear; that is, risk of failure is low.

B. Implementation begins with clear definition of objective(s).

1. Policy directive stating a recreation program will be begun in the jail on a volunteer basis.

C. Problems to be solved are who will carry it out, financial resources required, materials needed, procedures to be followed.

1. Federal grant supports building a fence around yard area; equipment donated; standards set for who may participate in recreation program; guards used as recreation supervisors or parttime physical education specialist hired.

IV. INFORMATION STRATEGIES:

A. If reliability of technology is low, risk of failure is high-- strategies must be developed which maximize the flow of information about the progress of the program.

B. Monitoring, program evaluation, regular staff meetings increase possibility of making revisions as weaknesses are discovered.

1. Changes in data collection instruments to simplify the problems of getting records onto the computer.

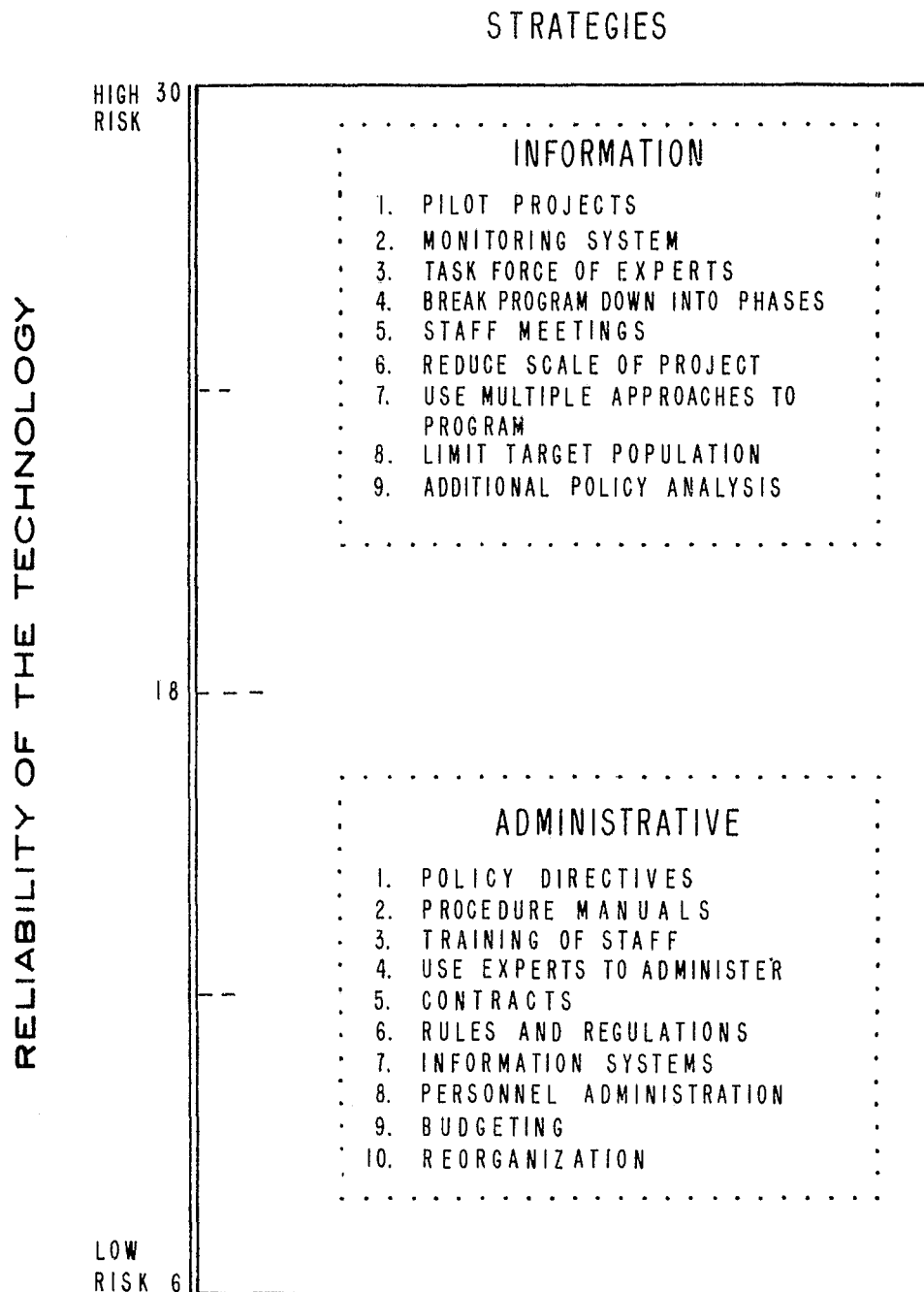
2. New standards for assigning inmates to work release because of failure--or success-- of those already in the program.

C. Set up program on an experimental basis to minimize negative effects--pilot projects, reduce scale of project, implement by phases, begin with the "safest" target population.

1. Use of a special team to test effect of community resource management approach to probation.

2. Start work release centers with small population of lowest risk offenders and expand risk later when program running smoothly.
- D. Increase the flow of information on technology in advance of implementation--policy analysis, a panel of experts.
 1. Assumes technology exists if more time given to advance planning--information systems design, parole board decision guidelines.
 - E. The lower the reliability of the technology (i.e., higher the risk of failure) the more program should be approached as an experiment in its design rather than as a permanent, on-going policy.
 1. Need to build in additional, regular decision points.
- V. RELIABILITY OF TECHNOLOGY AS DECISION CRITERION.
- A. If two alternatives have equal benefits may want to select on with least risk of failure.
 - B. In most instances, however, high risk associated with high benefits.
 1. If community resource management works, services to clients greater than through standard practices with less personnel.
 - C. In any case, cannot eliminate all risk; must manage it.

STRATEGIES FOR MANAGING TECHNOLOGICAL RISK



STEP 2

STRATEGIES FOR MANAGING POLITICAL RISK

I. UNIQUE FEATURES OF POLITICAL STRATEGIES:

- A. Much more dependent on the specific context than are information strategies.
 - 1. A governor who has ambitions to run for the Senate.
 - 2. Personal problems of a corrections commissioner.
 - 3. A legislator who is trying to "score points" by alleging inefficiency in department operations.
- B. Information strategies have a common purpose: Increase the confidence one can have in the process.
- C. Political strategies have multiple purposes.
 - 1. Win over potential friends.
 - 2. Isolate enemies.
 - 3. Gain the cooperation of another department or agency.
 - 4. Force someone to act who does not want to.
 - 5. Keep things quiet.
- D. All designed to overcome resistance.

II. FOUR CATEGORIES OF STRATEGIES: Dependent on the intensity of resistance to change from the target group or the intensity of the conflict (see Zaltman and Duncan).

- A. Facilitative Strategies: Providing help to the target group; e.g., technical assistance to a county to implement standards, or, preparing a manual of procedure for a mutual agreement program contract.
 - 1. Assumes target group:
 - a. Already recognizes problem.
 - b. Is in general agreement that action is necessary.
 - c. Is open to external assistance and willing to engage in self-help.
 - 2. Many of the administrative strategies fall in this category.

- a. Policy directive.
- b. Manual of procedures.
- c. Training
- d. Contracts

3. Advantages:

- a. High commitment.
- b. More likely for change to be implemented.

4. Limitations:

- a. Assumption of cooperation by target group limits settings can be applied in.
- b. Must have help to give--technical, information, financial.
- c. Program must be obvious.

B. Reeducative Strategies: Relative unbiased presentation of facts will convince target group of need for change (rational man approach); e.g., staff meetings explaining new procedures; briefing sessions with legislators, the governor, the commissioner; advisory committees of agency personnel, citizens, or legislators, public speaking programs.

1. Assumes conflict (resistance) arises because of misunderstandings rather than difference in values.

2. Advantages:

- a. High commitment, if successful.

3. Disadvantages:

- a. Takes time and that may be at a premium.
- b. Limited conditions under which it can be used--goals must be shared.

C. Persuasive Strategies: Using reasoning, urging, and inducements, try to create change through appeal to self-interest; facts can be represented accurately or be totally false; e.g., year end reports; advertising for commercial products; interagency agreements; most bargaining situations.

1. Assumes non-zero sum situation.

- a. Side payments to convert to non-zero sum.

2. Advantages:

- a. Do not assume agreement on goals--may use vague symbol to obscure differences, e.g., restitution to justify Halfway Houses.
- b. Must be used when target group commitment low.

3. Disadvantages:

- a. May have low levels of commitment--neutralize opposition but no enthusiasm.
- b. Often time consuming.
- c. Requires resources on your part--information, material rewards, etc.

4. Their approach is the heart of political strategies.

D. Power Strategies: Use of coercion to get compliance by target groups, e.g., hierarchical edicts; legislation mandating minimum jail standards.

1. Assumes target group is opposed to the change--(Conflict is high).

2. Advantages:

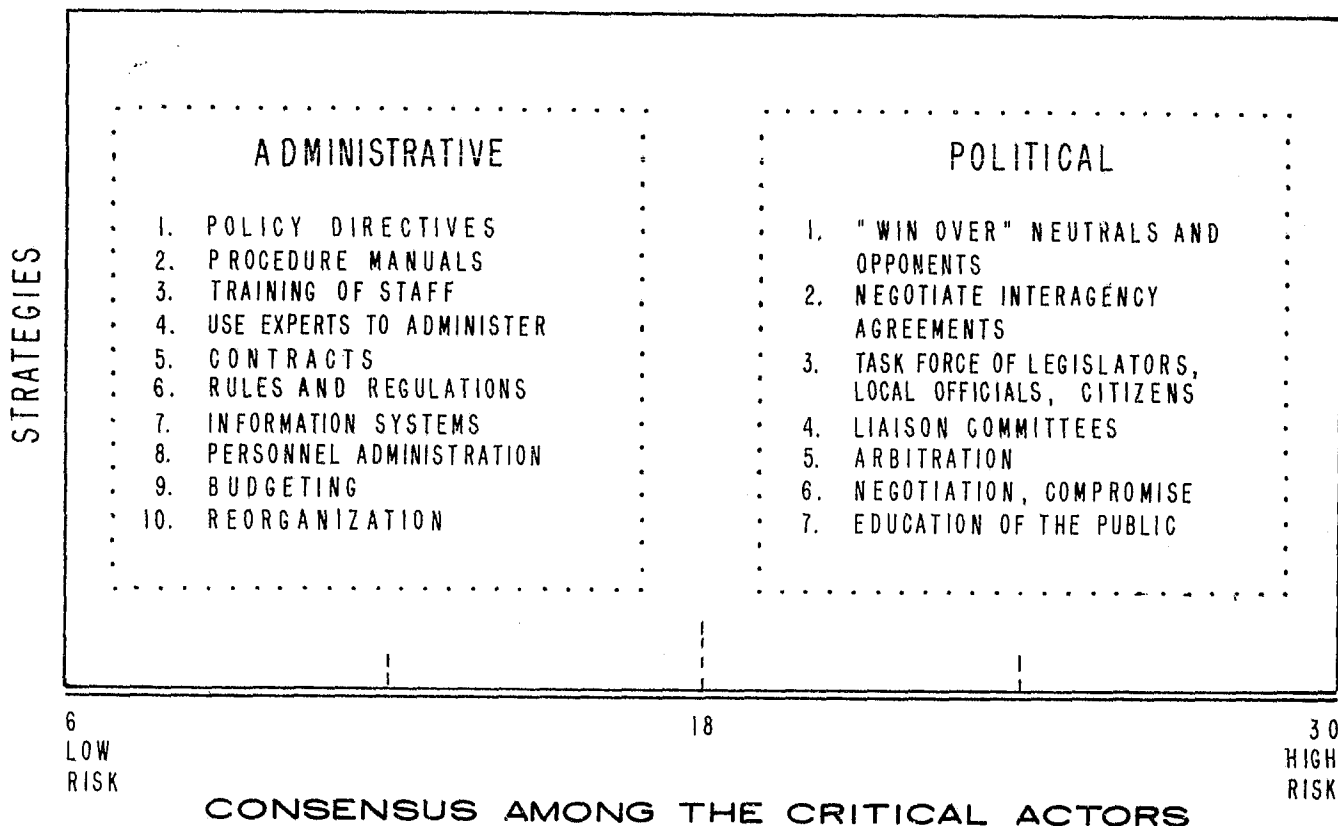
- a. Takes little time.
- b. Requires few material resources.

3. Disadvantages:

- a. Commitment of target group low--likely to be sabotage efforts.
 - . Must have the authority to carry it out.
- c. Most effective when number of contingencies is limited--few chances for covert resistance.
- d. Also, when action is clear such as dramatically closing juvenile institutions.

4. Power strategies mistakenly seen as essence of politics; more often they characterize administration.

STRATEGIES FOR MANAGING POLITICAL RISK



STRATEGIES FOR MANAGING RISK
(Discussion Leader Notes)

The following list of conditions for and characteristics of different types of strategies may supplement those described on The Risk Assessment Grid and in related lecture notes. They are excerpted from Strategies for Planned Change by Gerald Zaltman and Robert Duncan (John Wiley and Sons, 1977).

PERSUASIVE STRATEGIES

1. Persuasive strategies are indicated when a problem is not recognized or not considered particularly important, or when a particular solution to a problem is not perceived to be potentially effective.
2. Persuasive strategies are desirable when the client is not committed to change.
3. Persuasive strategies are desirable when it is necessary to induce a client system to reallocate its resources from one program or activity to the activity advocated by the change agent.
4. Persuasive strategies are not feasible when the client system has no access to resources to sustain a change effort.
5. Persuasive strategies are often necessary when the change agency has no direct control over the client system through the manipulation of resources of value to the client system.
6. Persuasive strategies are particularly appropriate when the client is at the evaluation or legitimation stages of the adoption process.
7. When a persuasive effort is appropriate to one subgroup but not to another, care must be exercised to prevent persuasive content from reaching the subgroup that would respond negatively to such measures.
8. Persuasive strategies are appropriate where the magnitude of change is great and is perceived to be risky and socially disruptive.
9. The greater the time constraints and the lower the ability to use power, the more desirable or necessary it may be to use persuasive strategies.
10. Persuasive strategies are indicated when the change cannot be implemented on a trial basis, is difficult to understand, and has not very visible relative advantage.
11. Persuasive strategies are especially effective in combating resistance to change, although the strategies used to combat resistance to initiating change may not be those used to combat resistance after the change has been implemented.

FACILITATIVE STRATEGIES

1. Facilitative strategies can be used when the client system recognizes a problem, agrees that remedial action is necessary, is open to external assistance, and is willing to engage in self-help.
2. A facilitative approach must be coupled with a program of creating awareness among the target groups of the availability of assistance.
3. Facilitative strategies making it very easy to change may be necessary to compensate for a low motivation to change: great ease compensates for low motivation.
4. The facilitating of change through solution diversification is desirable when members of a client system desire different ways of satisfying a common need.
5. A change will be more likely if the resource-providing institution is located within the client system.
6. Long-run, persuasive social change is more apt to be achieved if resources are applied to the community rather than the individual.
7. The more general the goals to which a resource is committed, the more likely that it will be used effectively.
8. Tying a resource to a specific time period inhibits community participation in a change program and thus reduces the effectiveness of resources committed to the program.
9. The creation of new roles within a client system is desirable if existing roles are inadequate to utilize a needed resource.
10. Facilitative strategies such as the provision of funds or capabilities are necessary when the client system lacks these resources to continue a change.
11. The change agent should assess the client's ability to sustain change itself, and its own ability to provide continued assistance if the client does not have the ability to sustain change.
12. Different subgroups within the client system may require different facilitative strategies at any given point in time.
13. The larger the magnitude of the intended change, the more important it is to undertake facilitative efforts.
14. The greater the resistance to change, the less effective facilitative strategies will be.

15. Certain attributes of the change objective such as complexity, accessibility, and divisibility may require offsetting facilitative efforts.
16. When change must occur quickly and an openness to change does not exist, a facilitative approach is unlikely to be effective.
17. When the change objective involves altering a firmly held attitude or firmly entrenched behavior, a facilitative strategy alone is unlikely to be helpful.

POWER STRATEGIES

1. Although power strategies may be desirable when commitment by the client system is low, they are also unlikely to increase commitment.
2. The lower the perceived or felt need for change among a client system, the greater the need for a power-oriented strategy.
3. A power strategy will be ineffective if the client system does not have the requisite resources to accept change and the change agency cannot provide them. A power strategy may be effective, on the other hand, in getting a client system to reallocate resources to initiate and sustain change.
4. Power strategies are desirable when a protracted adoption-decision-making process is likely but change must be immediate.
5. Power strategies can be effective in overcoming resistance or in creating change rapidly before resistance can be mobilized.
6. The less susceptible to modification a change is, the greater the need for a power strategy to force changes within the client system. Power strategies may also be useful in securing a trial use of the change.

REEDUCATIVE STRATEGIES

1. Reeducative strategies are feasible, other things being equal, when change does not have to be immediate.
2. Reeducative strategies can be effective in providing the foundation for future action by establishing an awareness of a need (general or specific) for change. It may be desirable not to mention a specific change if it is potentially controversial until a clear need has been established.
3. The stronger the degree of commitment a change requires to be effective, the less impactive reeducational strategies alone will be.
4. Reeducational strategies are effective in immunizing people against appeals to resist change or to revert to the previous situation.
5. Reeducational strategies can be effective in (1) connecting causes with symptoms, (2) creating awareness of a problem, and (3) establishing that a known problem can be resolved.
6. Reeducational strategies are necessary when the use of the advocated change requires skills and knowledge the client system does not possess.
7. When a change agency does not possess the resources to sustain a needed long-term involvement, a reeducative strategy alone is not indicated.
8. Reeducational strategies are particularly useful at the awareness stage of the adoption process.
9. Generally, reeducational strategies alone are insufficient for accomplishing large-scale change in the short run, particularly where motivation to change is low relative to the magnitude of the change required.
10. The higher the anticipated level of resistance, the more necessary it is to initiate educational programs well in advance of the actual introduction of the change.
11. Reeducational strategies are essential when the change involves a radical departure from the past practices.
12. Reeducational strategies are feasible when little control over the client is necessary and the rationale for change is clearly presented in terms of the client's perspective.

STEP 3

INTRODUCTION TO THE RISK ASSESSMENT GRID

I. COMBINING POLITICAL AND TECHNOLOGICAL RISK

- A. Combination presented on Risk Assessment Grid.
- B. Placement on the Grid indicates:
 - 1. Major source of risk
 - a. Technological weaknesses
 - b. Lack of consensus among critical actors
 - 2. Primary strategies to be used:
 - a. Information
 - b. Administrative
 - c. Political
- C. Most proposals will require combination of strategies.
 - 1. Indicates where the most energies should be applied
- D. May use Grid to compare alternatives in terms of risk they present.
 - 1. May select alternative with risk factors most easily handled by agency (e.g., a strong research department may facilitate improving reliability of technology)
 - 2. In any case, demonstrates that alternatives will vary.
 - a. Kind of risk
 - b. Magnitude of risk
- E. Grid's major function is to identify areas of risk.
 - 1. It is not a mechanism for risk avoidance
 - 2. A planning tool to facilitate implementation of preferred alternatives

REVIEW AND SUMMARY OF RISK ASSESSMENT GRID

- I. RISK ASSESSMENT GRID: A mechanical device for clarifying origin of uncertainty.
 - A. Product of judgments; no one right answer.
 - B. Forces one to make assumptions about technology and political setting explicit rather than implicit.
 - C. Grid recognizes inter-dependency of politics and technology in public policy.
- II. RISK ASSESSMENT GRID: Used as a decision-making device.
 - A. May reduce risk of failure by selecting alternative with least amount of risk.
 1. Those alternatives which fall into, or near, administrative quadrant.
 2. Or, establish priorities among alternatives which are not mutually exclusive.
 - a. Jail standards
 3. However, risks must be related to benefits; most reliable alternative may produce minimal effect or be more costly, etc.
 - B. Alternatively, may select alternative with most benefits and use Risk Assessment Grid to manage the risk associated with it.
 1. Risk Assessment Grid is the initial step in planning for implementation.
- III. ALL CHANGE INVOLVES SOME DEGREE OF RISK OF FAILURE.
 - A. Impossible to predict perfectly future events.
 - B. Therefore, every alternative will involve some management of the risk involved.
 - C. Risk of failure occurs because of uncertainty about the future.

D. Strategies are designed to reduce risk by reducing uncertainty.

1. Uncertainty about technology by increasing information flow.
2. Uncertainty about consensus by overcoming resistance.
3. Uncertainty about administration by limiting discretion.

IV. BECAUSE OF UNCERTAINTY, MOST CHANGES REQUIRE MULTIPLE STRATEGIES.

A. Administrative strategies a constant.

B. Quadrants should not be thought of as mutually exclusive.

1. Identify where special attention must be given.

C. Location on Grid identifies complexity of the problems of implementation.

1. Information/political the most complex.

V. NEXT STEP IN PROCESS IS TO TRANSLATE STRATEGIES INTO TASKS.

A. Dealt with in Implementation Document.

VI. RISK ASSESSEMENT GRID APPLIED TO JAIL STANDARDS CASE STUDY:

A. Standard 1—Administrative Quadrant.

1. Technology is available and well tested.
 - a. Correspondence course; classroom course.
 - b. Neighboring jurisdiction's experience.
 - c. Evaluation studies available.
 - d. Detailed cost analysis of reimbursement formulas.
2. General agreement on the value of this standard.
 - a. No opposition has arisen.
3. Still some administrative decision to be made.
 - a. What formula will be used?
 - b. Who will provide education services?
 - c. How will the program be monitored?
 - d. What will be the total cost to the state?
 - e. Who will administer funds?

B. Standard 2--Information Quadrant.

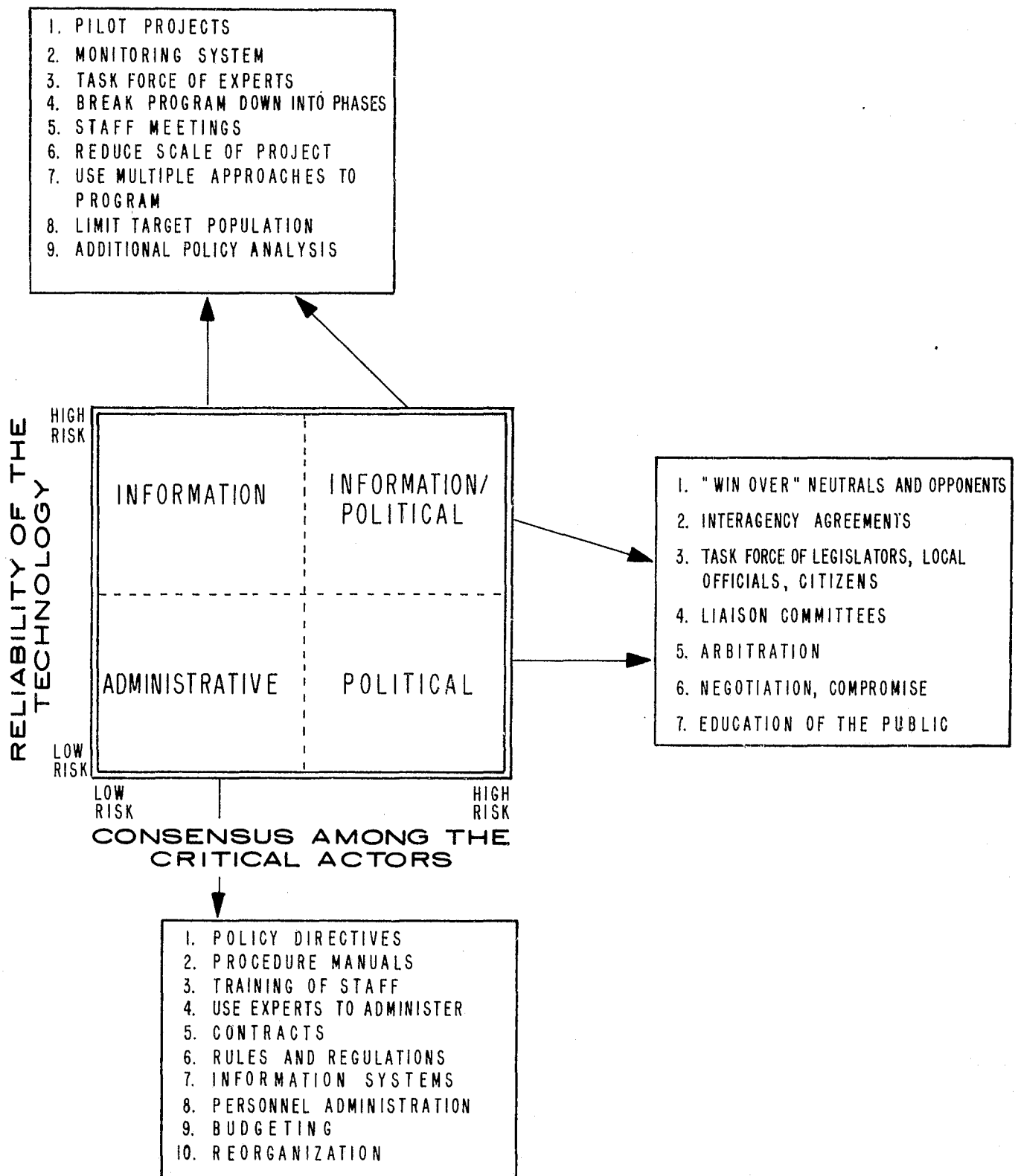
1. Technology is available, but untested.
 - a. Models based on experience rather than objective evaluation.
 - b. None of the models are appropriate for small jails.
 - c. Very few of the jails have any experience with classification.
 - d. Leap of faith that what works in state institutions with long-term offenders will work in jails with high turnover rates.
 - e. High turnover rate among jail staff limits utility of training.
2. Consensus high that a classification system is necessary.
 - a. Sheriffs have incentive for adopting program--court suits.
 - b. Endorsement by state sheriff's association.
 - c. However, likely to be limited in resources.
3. Appropriate strategy one of testing alternative schemes before state-wide implementation.
 - a. Pilot project in small jails.
 - b. Use of experts to advise on pilots.
 - c. Extensive consultations with sheriffs on resource availability.
 - d. Close monitoring and evaluation of pilot projects.

C. Standard 3--Political Quadrant.

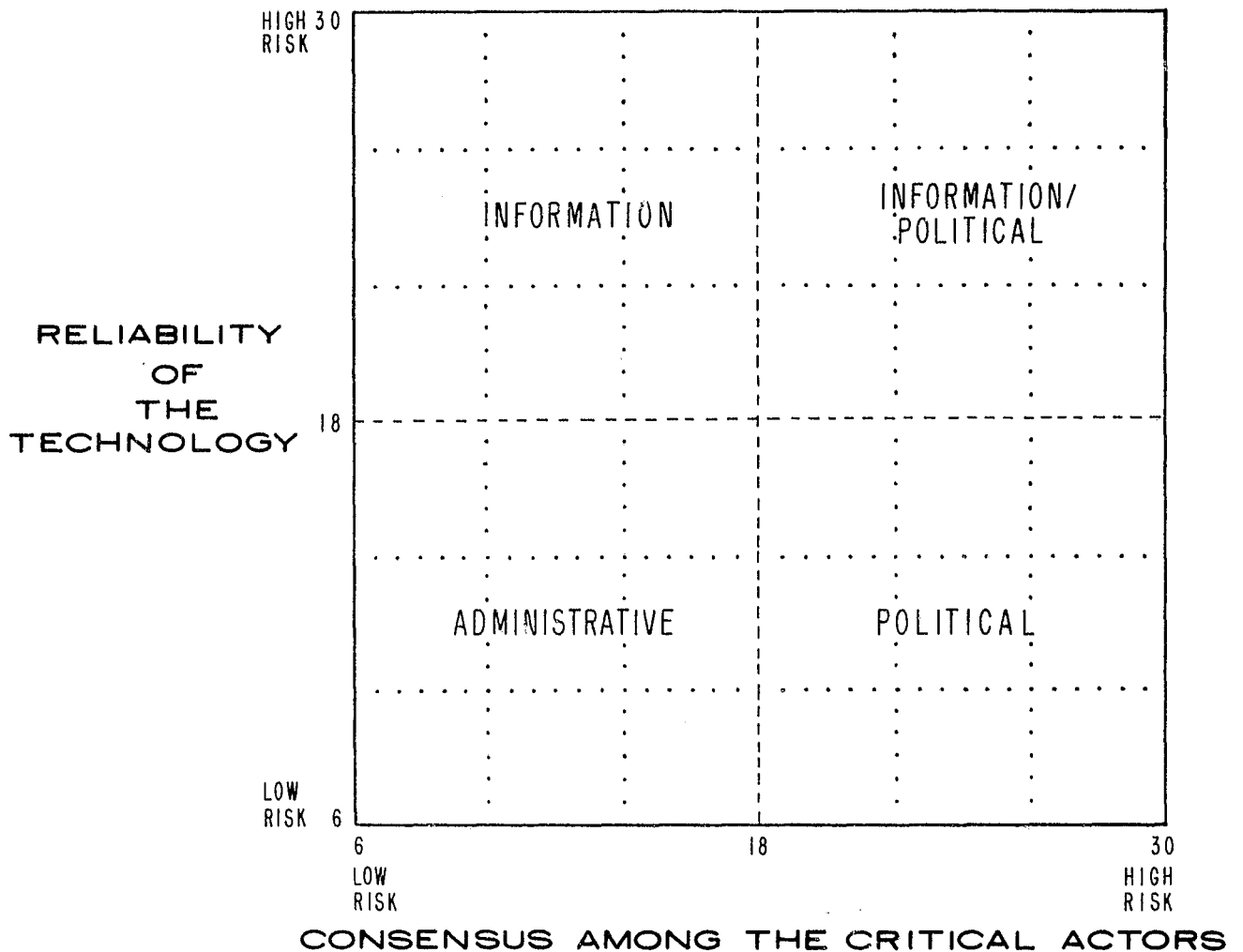
1. Technology relatively high; know how to educate people.
 - a. Self-pacing correspondence material well tested by department of education.
 - b. Extensive administrative experience with correspondence course.
 - c. Local schools have been running education programs for high need groups.
 - d. Also, some jurisdictions have experience with private contractors.
 - e. Extensive experience with reimbursement process.
 - f. Has not been applied to jail populations.
 - g. Education demonstrated to have positive impact on recidivism.
2. High potential conflict over providing the services.
 - a. State education association likely to oppose teaching prisoners.
 - b. Potential resistance of local communities at spending tax dollars.

- c. Correspondence course program already over enrolled.
 - d. No evidence education and corrections have worked together in the past.
 - e. Local school districts likely to see this as a preservation of their prerogatives.
3. Major attention will have to be directed at winning cooperation of department of education and solving administrative problems.
- D. Standard 4--Information/Political Quadrant.
- 1. Technology unclear and effects untested.
 - a. Effects on security based on experience.
 - b. No evidence community ties strengthened by open communications.
 - c. What does communication "between prisoner and staff" mean?
 - d. What will compliance mean: Legal standards; administrative procedures; "community involvement"?
 - e. As present, court decisions only standard but these based on constitutional rights rather than program effect.
 - 2. No consensus on value of this standard.
 - a. High resistance by sheriffs.
 - b. Current practices in most jails violate court standards.
 - c. Intense debate in legislature drew clear battle lines.
 - d. Sheriffs see this as a preservation conflict.
 - e. Vocal supporters as well as opponents.
 - 3. No obvious strategy; need to:
 - a. Clarify objectives.
 - b. Advisory panel of potential critics.
 - c. Policy analysis of means.

STRATEGIES FOR MANAGING RISK



RISK ASSESSMENT GRID



(USING THE SUMMARY SCORES FROM THE RISK ASSESSMENT SHEETS, LOCATE EACH ALTERNATIVE IN THE GRID. PLACEMENT INDICATES THE DEGREE, AND SOURCE OF THE RISK INVOLVED IN EACH OPTION. THE PRIMARY STRATEGY FOR MANAGING THE RISK IS GIVEN BY THE TITLES OF EACH QUADRANGLE.)

STEP 4

IMPLEMENTATION

I. IMPLEMENTATION AND THE POLICY ANALYSIS PROCESS.

- A. As policy analysis is critical to decision-making process, implementation is important to completing the policy analysis process.
- B. Makes little sense to invest in policy analysis and then not plan implementation.

II. FORMALIZATION (EXPLICIT RECOGNITION OF) IMPLEMENTATION IS NECESSARY BECAUSE:

- A. Implementation planning and carrying out may be a much greater effort than policy analysis.
- B. Most corrections' agencies do not possess an "implementation unit" (again, we have to fit this in with all our other activities).

III. IMPLEMENTATION: The carrying out of the recommendations of a policy study.

- A. The policy study produces alternatives, informs a decision.
 - 1. Information will not be perfect, but assumed to be better than none.
 - 2. Policy study provided information on technology.
- B. The product evaluation (Executive Summary) places technological information in a more political context (advantages, disadvantages)
- C. Implementation success is enhanced by explicit recognition of:
 - 1. The two major origins of risk: Technological and political.
 - 2. Components required for implementation.
 - 3. Specific strategies to deal with the risk and the appropriateness of these strategies.

IV. THE IMPLEMENTATION DOCUMENT

- A. A representation (not a hard and fast document) of the implementation process.

1. A technique for systematically reviewing the environment.
 2. Does not mean all decisions are consistent.
 3. Implementation may call for a series of decisions.
- B. A plan for managing implementation (and by definition, risk) is critical:
1. Minimize resources.
 2. Coordinate activities.
- C. Carries on the manager/analyst roles initiated with the Issue Paper.
1. A new context.
 2. Risk Assessment Grid demonstrated the relations between political and technological uncertainty.
 3. Implementation requires coordination of analysts' knowledge with managers' policy responsibilities.
- D. Implementation Document is analogous to workplan:
1. Explicit, yet flexible.
 2. Reduce "surprises" and permit monitoring.
 3. Know what you can give up if time, resource constraints arise.
 4. Keeps objectives in sight.
- E. Focuses on action.
1. Addresses risk.
 2. Outlines strategies.
- V. WHY PLAN FOR IMPLEMENTATION?
- A. Avoids focusing on wrong implementation problem:
1. E.g., legislative support may not be as critical as community support, but manager has more ties with the legislature; likes the "fray"

2. Lobbying with individuals may ignore real problem of group coherence or communication.
 3. Setting up a broad-based project (getting staff support), when do not know if theory will work.
- B. Introduces a management approach to implementation:
1. Prioritization helps to adjust midstream, reallocate resources.
 2. Makes explicit what is being given up, e.g.,
 - a. May have to "let go" of a critical actor.
 - b. Or scale back program size or composition.

VI. THE IMPLEMENTATION DOCUMENT

- A. First cut on Implementation Document is an ideal; actuality may be different (smaller or larger).
- B. A formalization of:
1. The problem(s)
 2. The alternative(s)
 3. Risks
 4. Strategies
 5. Tasks and Resources
- Note: In this section, use overhead, and offer outline suggestions for each section of the Implementation Document.
- C. And, a first cut at:
- a. Prioritization
 2. Scheduling
 3. Contingency planning.
- D. Explicit, yet flexible:
1. Plan should not be so broad that no one knows what to do, or what priorities are, or so narrow that independent action is impossible.
 2. Really addresses two major areas of risk, the major components of those risks and suggests actions.

- E. Unique to agency, no two bureaucratic/political situations are the same (e.g., staff resistance may be due to different factors).
- F. Cannot capture "nuances" associated with certain strategies (e.g., only you know how you will talk to the governor).
- G. Cannot reflect the unique blending of political and analytical techniques and strategies (in one case, may "snow" opposition with facts; in another, this may not be useful).

IMPLEMENTATION DOCUMENT OUTLINE

I - SUMMARY FORM

STATEMENT OF THE PROBLEM - STATE THE ORIGINAL PROBLEM - THE FOCUS OF THE POLICY STUDY.

ALTERNATIVE SELECTED - BRIEFLY DESCRIBE THE ALTERNATIVE WHICH WAS ULTIMATELY SELECTED TO RESOLVE OR ADDRESS THE PROBLEM.

AREAS OF RISK

RELIABILITY OF THE TECHNOLOGY

LIST THE MAJOR PROBLEMS (i.e., A SCORE OF 4 OR 5 FROM THE RATING SHEET, e.g., LACK OF ANALYTICAL SUPPORT, etc.

MAJOR STRATEGIES

LIST THE MAJOR STRATEGIES SELECTED TO ADDRESS THE RISK, e.g., PILOT PROJECT, etc.
SOME STRATEGIES MAY BE APPLICABLE TO MORE THAN ONE COMPONENT OF RISK.

CONSENSUS AMONG THE CRITICAL ACTORS

LIST THE MAJOR PROBLEMS FROM THE RATING SHEET, e.g., ABSENCE OF COMMUNICATIONS LINKS, etc.

MAJOR STRATEGIES

LIST THE MAJOR STRATEGIES SELECTED TO ADDRESS THIS RISK, e.g. LIAISON COMMITTEES, etc.

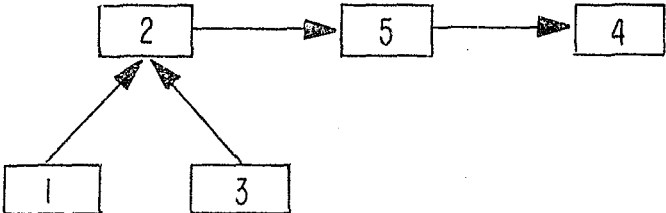
IMPLEMENTATION DOCUMENT OUTLINE

II - TASK AND PRIORITY ANALYSIS

	STRATEGIES	PRIORITY	MAJOR TASKS	RESOURCES
ADMINISTRATIVE	LIST ALL ADMINISTRATIVE STRATEGIES SELECTED, e.g., PERSONNEL ADMINISTRATION.	HOW CRITICAL IS THIS STRATEGY AND TASKS TO SUCCESSFUL IMPLEMENTATION? MEDIUM? LOW?	LIST THE MAJOR TASKS NECESSARY TO CARRY OUT THE STRATEGY, e.g., IDENTIFY CURRENT STAFF, ASSESS ADDITIONAL STAFF NEEDS, ASSIGN PERSONNEL, etc.	LIST PEOPLE, SKILLS, TIME, MATERIALS, PHYSICAL FACILITIES OR INFORMATION REQUIRED TO PERFORM TASKS.
INFORMATION	LIST ALL INFORMATION STRATEGIES SELECTED, e.g., PILOT PROJECT.		e.g., DETERMINE CLIENT GROUP, SCOPE OF PROJECT, EVALUATION CRITERIA, etc.	
POLITICAL	LIST ALL POLITICAL STRATEGIES SELECTED, e.g., EDUCATION OF THE PUBLIC.		e.g., SET UP NEWSLETTER, OBTAIN RADIO TIME, etc.	

IMPLEMENTATION DOCUMENT OUTLINE

III - CONTINGENCY SCHEDULE

T A S K S	S C H E D U L E
<p>RE-LIST MAJOR TASKS WITHOUT REGARD TO CATEGORIZATION, e.g.,</p> <ol style="list-style-type: none"> 1. HIRE PERSONNEL 2. SET UP TRAINING PROGRAM 3. OBTAIN TRAINING SPACE 4. BEGIN PROGRAM OPERATIONS 5. CARRY OUT TRAINING 	<p>USE TRADITIONAL TIME-LINES TO INDICATE START-UP AND COMPLETION DATES.</p>
C O N T I N G E N C Y C H A R T	
<p>A MODIFIED PERT CHART MAY BE USEFUL HERE TO INDICATE TASK DEPENDENCIES AND INTERDEPENDENCIES AND AVOID PROBLEMS, e.g., FROM THE ABOVE TASKS:</p>  <pre> graph BT 1[1] --> 2[2] 3[3] --> 2[2] 2[2] --> 5[5] 5[5] --> 4[4] </pre>	

STEP 5

IMPLEMENTATION DOCUMENT OUTLINE

I - SUMMARY FORM

STATEMENT OF THE PROBLEM

ALTERNATIVE SELECTED

AREAS OF RISK

RELIABILITY OF THE TECHNOLOGY

MAJOR STRATEGIES

CONSENSUS AMONG THE CRITICAL ACTORS

MAJOR STRATEGIES

IMPLEMENTATION DOCUMENT OUTLINE

II - TASK AND PRIORITY ANALYSIS

STRATEGIES		PRIORITY	MAJOR TASKS	RESOURCES
ADMINISTRATIVE INFORMATION POLITICAL	ADMINISTRATIVE			
	INFORMATION			
	POLITICAL			

IMPLEMENTATION DOCUMENT OUTLINE

III - CONTINGENCY SCHEDULE

T A S K S	S C H E D U L E
C O N T I N G E N C Y C H A R T	

MODULE 3: RELATED TOPICS AND MATERIALS
UNIT 1: ECONOMIC ANALYSIS

This unit is designed to introduce economic concepts and provide experience in applying these concepts in a correctional setting. Cost, comparative cost and cost-benefit analysis are explained. Case studies illustrate the source of problems encountered in each type of analysis, e.g., joint products, externalities, "hidden costs", valuation of capital, inconsistent accounting definitions, etc. Specific techniques include cost allocation, budget analysis, benefit specification and valuation, discounting, shadow pricing and amortization.

OBJECTIVES

1. To present the basic concepts of economics and how these are applied in public policy analysis.
2. To provide experience in estimating the total costs of a corrections activity.
3. To provide experience in applying cost-benefit analysis to a corrections activity.

CONCEPTS

1. Multiple wants and scarce resources make it necessary to choose among alternatives.
2. Collective goods, spillover effects and scale are economic factors that may encourage governmental action through taxes, subsidies, regulation or direct service provision.
3. There are multiple schema for classifying costs; the purpose of an analysis and data availability determine the "correct" classification.
4. Economic data comprise only one set of decision criteria. (See Module 1, Unit 1, Step 7.)
5. Four, general analytical approaches are possible: Cost analysis, comparative cost analysis, cost-effectiveness analysis, and cost-benefit analysis.
6. The choice of an analytical technique depends on the decision to be informed and the time and resources available.

PROCESS AND MATERIALS

Step 1

An introductory lecture gives an overview of basic definitions, recurring problems of economic analysis in the public sector, kinds of analysis and some limitations on using economic data for decision-making. (Time: 60 minutes)

- Lecture: a. Introduction to Economics
- Readings: a. Wayson and Funke, How to Implement Criminal Justice Standards for Corrections, pp. 1-20
- b. Quade, Analysis for Public Decisions, Chapter 9
- c. Kazanowski, "A Standardized Approach to Cost Effectiveness Evaluations"
- d. Dorfman (ed.), Measuring Benefits of Government Investments, pp. 1-11
- Notes: a. Cost Typology

Step 2

Participants are introduced to a case study, Correctional Economics (Budget Analysis), and given time to read pages 1-6. They are then provided pages 7 and 8 and requested to restructure the House of Corrections (HOC) budget into operating and new capital costs. After reading and working individually (15-20 minutes), this session may be debriefed by using an overhead representing page 8. The critical points to be made are that expenditures for new plant and equipment do not belong in current operating costs and that budget restructuring may be necessary to identify costs more precisely and provide a consistent categorization of accounts. (Time: 30 minutes)

- Notes: a. Correctional Economics Case Study, pp. 1-8

Step 3

Participants, working in small groups, identify other HOC costs not appearing in the budget. These include jail staff working at HOC, fringe benefits, sheriff's salary, transportation and food costs, administrative overhead, federally funded programs, land and plant and equipment valuation. After individually filling out the "Correctional Costs Worksheet," this exercise may be debriefed as Step 2. (Time: 30 minutes)

- Notes: a. Cost Typology, pp. 10-11
- Forms: a. Correctional Costs Worksheet, p. 9

Step 4

Working as a group with direction by the discussion leader, participants explore methods for estimating each additional cost they identified in Step 3, using the case study data as needed. Focus is on estimation techniques which suit the circumstances rather than exact numbers. Four forms, distributed as "answer sheets" provide suggestions on estimating and yield new, total operating costs. Participants are reminded that the new estimates do not represent averted costs in the absence of the HOC, but do represent its true share of resources allocated in the county. (Note: Steps 1-4 provide the background necessary to complete subsequent steps.) (Time: 60 minutes)

- Notes:
- a. HOC Case Study
 - b. Completed Correctional Costs Worksheets (Step 3)
 - c. Cost Calculations, p. 12
 - d. Transportation Cost Allocation, p. 13
 - e. HOC Costs, p. 14
 - f. HOC: Plant, Equipment and Land Valuation, p. 15

Step 5 (Optional)

A short exercise can be used to introduce participants to the idea that defining what is a "cost" and a "benefit" is, in part, dependent on the perspective one takes. That is, a "cost" to an agency may be a "benefit" to the client. Half the group is asked to list the "costs" they are incurring by participating in the training; the others, to list the "benefits". These lists are then summarized on flip charts. Typically, there will be similar items in both benefit and cost columns and the discussion leader points out that an individual's perspective of an activity is important to how it is categorized ("cost" or "benefit"). As appropriate, the exercise can be extended to have participants separate measurable from unmeasurable and economic from non-economic costs/or benefits. (Time: 45 minutes)

Step 6

Participants read the Juvenile Assistance Case Study (pages 1-6) and are asked to list program goals and objectives (recorded on flip charts). The discussion leader directs the participants toward distinguishing and structuring their results. The list of Juvenile Assistance Program Goals and Objectives is distributed and used as a basis for introducing Step 7. (Time: 60 minutes)

- Readings:
- a. Chapman and Nelson, A Handbook of Cost-Benefit Techniques and Applications, Part I, pp. 4-7
 - b. Wayson and Funke, How to Implement..., pp. 17-20

- Notes:
- a. Juvenile Assistance Case Study, Part I, pp. 1-6
 - b. Juvenile Assistance Program Goals and Objectives

Step 7

Participants read pages 7-13 of the Juvenile Assistance Case Study in the context of program goals and objectives they have derived. Small groups (4-6) are asked to list on a worksheet all conceivable costs and benefits in terms of individual, societal and system perspectives. The discussion leader records on flip charts the groups' responses by objective and perspective. The group is asked, first, to identify measurable benefits and costs and, second, to subdivide this group into economic and non-economic. This will provide the material necessary for identifying precisely what data will be sought to place a dollar value on costs and benefits. Some key points include: The need to alter the budget, employment, education, and averted cost benefits and use of program evaluation data. The Goal Hierarchy is used to present one completed approach to how objectives, program activities, benefits and cost measures can be interrelated. (Time: 60 minutes)

- Readings: a. Chapman and Nelson, A Handbook of Cost-Benefit..., Part I, pp. 8-20 and Part II, pp. 6-9, 13-22
b. Quade, Analysis for Public Decisions, Chapters 7 and 8
- Notes: a. Juvenile Assistance Case Study, Part II, pp. 7-13
b. Goal Hierarchy and Benefit-Cost Model
- Forms: a. Benefits and Costs Worksheet

Step 8

The same small groups are asked to identify potential sources of data for estimating the costs and benefits identified in Step 7, using the Data Source Worksheet. The discussion leader facilitates this process and debriefs the session using the Data Source Answers. (Time: 30 minutes)

- Readings: a. Chapman and Nelson, A Handbook of Cost-Benefit...,
Part II, pp. 10-12
b. Bardach, "Gathering Data for Policy Analysis"
- Notes: a. Data Source Worksheet Outline
b. Data Source Answers
- Forms: a. Data Source Worksheet

Step 9

Based on material in the "Results and Conclusions" section, the discussion leader creates 3-4 "public interest groups" representing the elderly, minority community, state's attorney, juvenile agency, etc. These

"groups" are asked to review the five B-C ratios (and any other material in the case study) and to prepare a recommendation on whether or not the County Commissioners should assume funding of the program. The recommendations with supporting justifications are presented to the group. Some common points include: Use of non-economic and non-measurable data in justifying recommendations; sensitivity of research results to analytical assumptions; and difficulty in selecting the "correct" discount rate. (Time: 45 minutes)

- Readings:
- a. Chapman and Nelson, A Handbook of Cost-Benefit..., Part I, pp. 18-24 (calculating ratios); 25-32 (limitations of methods); Part II, pp. 24-28 (calculating ratios) and pp. 29-31 (limitations of methods)
 - b. Kazanowski, "Cost Effectiveness Fallacies and Misconceptions Revisited"
 - c. Noble, "The Limits of Cost-Benefit Analysis as a Guide to Priority-Setting in Rehabilitation", Evaluation Quarterly, Vol. 1, No. 3
- Notes:
- a. Results and Conclusions

STEP 1

INTRODUCTION TO ECONOMICS

I. BACKGROUND

- A. "Economics": Study of the process by which scarce resources are allocated among alternative goals (wants or needs)

or

"The competitive and cooperative behavior of people in resolving conflicts that arise because wants exceed what is available."

1. Postulates

- a. Scarcity
- b. Multiple goals (alternatives)

2. Characteristics

- a. Pure method (side applicability)
- b. Value free (pre-established objectives)
- c. Measurement (approximate; proxies)

B. Definition makes concepts applicable to:

- 1. Market economies where resources are allocated on basis of relative prices
- 2. Planned economies like some socialist countries
- 3. Legislative processes (vide Tullock, Calculus of Consent)
- 4. Generally, in situations requiring a choice between alternatives

C. "Opportunity cost" is the relevant cost concept

- 1. Defined as the value of alternatives foregone by choosing one rather than another
- 2. E.g., Bermuda vacation or color T.V.

D. Economic subfields:

- 1. Macro/Micro
- 2. International

3. Monetary (banks, stock market, etc.)
4. Economic structure (monopolies, scope of markets)
5. Welfare economics

II. WELFARE ECONOMICS

- A. "Welfare Economics": A process for formulating propositions by which we may rank on a scale of "better" or "worse" alternative economic situations.
 1. Examples include questions of economic growth, income distribution, economic stability.
- B. Prescriptive conditions for government intervention:
 1. Collective goods or services, e.g., police patrol
 2. External or indirect benefits, e.g., education
 3. Economics of scale, e.g., dams
 4. Income redistribution done for non-economic reasons
 5. Intergenerational effects, e.g., parks preserve open space for the future.
- C. Methods of government intervention:
 1. Circumvent market (prohibit, regulate)
 2. Supplement market (produce directly)
 3. Use market (taxes, subsidy)
- D. Types of Analysis:
 1. Cost: Estimating dollar value of inputs
 2. Comparative Cost: Dollar value of inputs to two or more processes or same process at different time periods
 3. Cost-Effectiveness: Input dollars plus output units

- a. Decision criteria are to minimize cost of given output or maximize output at given cost.
- 4. Cost-Benefit: Input dollars and output units plus dollar value of units.

or

The process for estimating the economic desirability of a public investment project.

- a. Decision criterion is to maximize return on investment while costs and output may both vary.

III. COST ANALYSIS

A. Introduction

- 1. Many kinds of costs
- 2. Many definitions of "cost".
- 3. E.g., comparing average daily cost of Jail A to average daily cost of Jail B, when Jail A only counted food costs (\$1.40/day) and Jail B only counted salaries (\$4.50/day)

B. Reasons for problems:

- 1. Criminal justice system is fragmented yet interdependent (costs incurred by one agency may appear in another agency's account)
- 2. Accounting procedures vary in quality
- 3. Budgeting process itself

C. Problems related to budgets:

- 1. Budget process (definitions)
 - a. "Budgeted" = estimate for future
 - b. "Obligated" = charged but not necessarily spent in time period
 - c. "Expended" = actual
 - (1) Unforeseen circumstances may force reallocation; budgeted dollars will not equal actual expenditures
- 2. Some solutions:
 - a. Use budgeted figures only when other dollar figures are not available.

- b. "Unpaid bills" appearing in next budget year should be charged to current year where incurred.
- c. May want to compare past expenditures on sub-components to estimated budgets to see if significant differences exist.

C. Problems related to accounting procedures:

1. Categorizing types of costs, e.g.

- a. Object of expenditure (supplies, contracts)
- b. Activity (pre-trial detention, trial, apprehension)
- c. Cost center (within activity) (police investigation; crime lab)
- d. Direct and indirect (detectives vs. crime information systems)
- e. Internal and external (police department; psychiatric services)
- f. Public and private (criminal justice system agencies/ witness expenses)
- g. Capital and labor

2. Treatment of capital costs:

- a. Must identify (often "buried" in another line item or do not appear in agency budget) and properly assign cost.
- b. Unassigned costs, e.g., opportunity cost associated with buildings and land held by an institution but unused; has an "opportunity cost", at least, foregone tax revenue.
- c. External costs, e.g., interest on bonds is usually viewed as a cost to government generally, not to a specific agency. \$10 million @ 8% over 30 years will cost \$1 million per year; rightfully, this should be viewed as an ongoing cost to the agency using the physical facility.
- d. Wrong definitions--repairs and maintenance are not a net addition to capital stock.
- e. Depreciate over useful life; do not charge as a single year expenditure.

3. "Hidden" costs:

- a. Costs may appear in other support agency accounts, e.g., fringe benefits.
- b. Grants, revenue sharing, etc. Sometimes a budget will not reflect all costs when they are covered by a grant; often just the agency "match" is shown.

- c. Donated goods and services (e.g., food, volunteers, office space)--a price should be imputed and assigned.
 - d. Other agency costs, e.g., a vocational referral may cause (another) employment agency's costs to rise. A juvenile court may refer people to schools.
4. Cost allocation--this process allocates costs according to activities or units selected by an agency:
- a. Agency goals, e.g., if an agency's goal is to ensure appearance at trial, it may choose to group all the associated costs.
 - b. Organizational activities, e.g., custody and care are two separate activities; the costs of each may be calculated separately.
 - c. Sub-functions (within activities), e.g., booking and feeding are sub-functions of other activities; it may be desirable to estimate the costs of such sub-units either for individual scrutiny or for later grouping by activity.
5. Problems in cost allocation:
- a. Joint products--when an activity produces two products simultaneously, it may be necessary to partition costs: e.g., incarceration produces public safety and (maybe) higher educational or behavioral levels.
 - b. Factor indivisibilities--occur because factors of production are inseparable; e.g., a sheriff may serve functions of law enforcement and jailer; a jail may be in a courthouse which pays a single heat bill.
 - c. Expenditure classifications--object-of-expenditure classification, rather than cost center or functional classification may result in misallocation of costs; e.g., a dishwasher may appear as a general equipment purchase, when properly it is part of food services.

IV. COST-BENEFIT ANALYSIS

- A. "Cost-Benefit: The process for estimating the economic desirability of a government investment project.
- 1. Conceptually, similar to cost-effectiveness analysis.

B. Elements of cost-benefit analysis:

1. Statement of objectives

- a. Measurable
- b. Relative priority of objectives not a consideration;
this is a political process

2. State of alternatives

- a. Location (Halfway House vs. penitentiary)
- b. Timing (pre- vs. post-conviction)
- c. Methods (training, counseling, education)

3. Analysis of costs: "The valuation of what must be given up to secure the chosen alternative (opportunity cost)"

a. Direct

- (1) Capital
- (2) Maintenance
- (3) Operating

b. Indirect

- (1) Other government agencies (e.g., welfare cost)
- (2) Society generally (additional crime)

4. Analysis of benefits (Which ones? How valued?)

a. Direct benefits

- (1) Accruing to the users of a service

b. Indirect benefits ("externalities")

- (1) Accruing to other than direct users of the service,
(e.g., lake, reduced traffic, congestion)

c. Valuation problems:

- (1) Lack of competitive market prices
- (2) Changes in relative prices
- (3) Uncertainty about the future
- (4) Pure public goods

5. "Discounting"--expression of time preference due to a multi-year stream of benefits and costs which may vary between alternatives.
6. Decision criteria:
 - a. Present value: $B \text{ minus } C \dots B \geq C$
 - b. C minus B ratio... $B/C \geq 1$
 - c. Internal rate of return--that (r) which will make net benefits over life of project equal to original cost.

C. Limitations

1. Scope must be limited
2. Objectives must be similar
3. May over-emphasize quantifiable costs and benefits
4. Cannot rank desirability of redistributive effects, but can evaluate them
5. Uncertain future (e.g., gambling may be decriminalized)

D. Examples of costs:

1. Medical bills
2. Depreciation of stolen property
3. Lost work time of witnesses, offender, victim
4. Property damage
5. Program costs
6. Criminal justice processing costs

E. Examples of benefits:

1. Averted criminal justice system cost ("diversion" benefit)
2. Maintenance of job ("earnings" benefit)
3. Averted future criminal justice system cost ("recidivism" benefit)
4. Taxes paid
5. Increased lifetime earnings ("education" or "training" benefit)

CONTINUED

3 OF 5

COST TYPOLOGY

Three types of costs may be incurred:

Criminal Justice System Costs

Criminal justice system costs include direct outlays for, or the imputed value of, goods and services provided by:

- Law enforcement agencies
- Courts
- Legal services agencies, bureaus or firms
- Other agencies, organizations or individuals whose stated mission could not be carried out if there were no crime.
- Activities or organizational units or individuals financed by any of the above.

The criminal justice system thus is defined to comprise the activities and agencies listed above.

Criminal justice system costs may be subdivided in the following way:

- Public expenditures -- direct outlays for, or the imputed value of, goods and services provided or financed by governmental agencies or units.
- Private expenditures -- direct outlays for, or the imputed value of goods and services provided or financed by non-governmental agencies or units. 1/

External Costs

External costs include direct outlays for, or the imputed value of, goods and services provided by all agencies, organizations or individuals external to the criminal justice system. 2/ External costs, like the previous classification, may be further subdivided into:

- Public expenditures -- direct outlays for, or the imputed value of, goods and services provided or financed by governmental agencies or units. For example, these would include: welfare, health, and mental health departments or facilities; employment and training programs, public schools and departments of education.

-
- 1/ There will be cases in which goods or services are financed through governmental as well as private sources. The ratio of such financing will determine whether they should be classified as "private" or "public" expenditures.
- 2/ The "criminal justice system" is defined to include the agencies or individuals listed under "criminal justice system costs" above.

--Private expenditures -- direct outlays for, or the imputed value of, goods and services provided or financed by non-governmental agencies or units. For example, these might include: private employment agencies or day care centers, private mental health practitioners (not paid under government contract). 1/

Opportunity Costs

In addition to criminal justice system and external costs described above, another type of cost is considered in this report. Opportunity cost is a measure of the cost which results from the fact that when one activity is undertaken another activity must be foregone.

Opportunity cost can be viewed from the perspective of many different levels of resource aggregation, that is, there is an opportunity cost associated with:

- A single resource which could be used in different ways (such as a person who can hold different jobs);
- A set of resources which could be used in alternative post-adjudication activities (such as \$10,000 for institutional or parole activities);
- A set of resources which could be used in alternative criminal justice program areas (such as an educational program for police or incarcerated persons);
- A set of resources which could be used in alternative public activities (such as government doctors for criminal justice or mental health programs);
- A set of resources which could be used in public or private activities (such as \$10 million in loans to build a correctional institution or private homes).

From the perspective of a single resource which could be used in different ways, one measure of the opportunity cost of an inmate in an institution is the productivity of his labor that is foregone. As another example, the opportunity cost of using a person to teach inmates is the teaching (or other tasks) he or she might have performed elsewhere. At the level of alternative post-adjudication activities, the opportunity cost of using a set of resources to perform one particular activity (for example, incarceration) is the result or product that could be obtained from using those same (or smaller) resources in other types of activities (such as probation or parole). At other levels of resource use suggested in the list above, institutional-based activities, or post-adjudication activities as a group, can be compared to other criminal justice activities, other non-criminal justice governmental activities, or non-governmental activities.

1/ In the case of activities financed through governmental and private sources, the financing ratio will determine the classification, as explained above for criminal justice system costs.

STEP 2

CORRECTIONAL ECONOMICS CASE STUDY

INTRODUCTION

The following case study is designed to familiarize you with some concepts and components of Correctional Economics. It focuses on the costs of a local corrections activity. While cost analysis lacks the analytical sophistication and force of cost-benefit and cost-effectiveness analysis, it is nevertheless a necessary precursor of these activities. In many cases, cost analysis may in fact be the most appropriate technique for producing decision-relevant information. Such was the situation in the following case.

SCENARIO

Your state is facing serious overcrowding in its prisons and has an immediate need for more bed space. The Department of Corrections has approached your county (where you live and work) regarding possible utilization or purchase of the County House of Corrections (HOC). The state has additionally suggested that should such an arrangement take place, it would accept county prisoners (the HOC holds sentenced misdemeanants) at a cost of \$28.00 per day.

The county sheriff is eager to begin negotiations; he would like to rid himself of his role in local corrections. In addition, county residents have been unwilling to accept new taxes and the county budget has remained virtually the same for the past three years.

However, the current HOC average daily cost (per inmate per day) as reflected in the institution's approved Fiscal Year 1977 budget, is \$25.84. But the sheriff and the state claim this figure understates the true operating cost and that the county can no longer afford to be in the "corrections business."

The county commission is prepared to make a decision based on cost factors alone. In order to be sure this decision is an informed one, the Commissioner decides to seek outside, impartial assistance. He pushes through a special grant of \$6,000 and hires you to perform a cost analysis. You are to estimate the total costs the county is incurring by operating the HOC. (You are to focus on hard cash outlays, rather than less quantifiable items such as whether prisoners feel better with local control.)

Part of your grant includes two junior members of the County commission. They will collect data, but you must tell them what kind. The Commission wants to act quickly; if it is shown that the costs under state auspices are lower, they will probably vote to sell or divest. But they must be able to point to specific dollar savings in the county.

At your request, your assistants prepare a brief overview of HOC and county background, expenditure levels (you are provided with a copy of the FY 1977 approved budget) and some information from telephone conversations with HOC personnel.

In order not to waste their \$6,000 grant, the commission has first asked for a brief presentation on the HOC budget, and whether it is a complete statement of the average daily costs.

BACKGROUND

HOC

The HOC is an older, medium-security facility located in a semi-rural section of the County on 178 acres. An additional, adjacent 190 acres are controlled by the HOC but not involved in its operation. A portion of the HOC serves as the County jail; in the near future the jail population will be moved to a new facility located on the top floors of the Courthouse. In the meantime, the jail operates as a separate entity within the HOC physical plant. It has its own staff and a separate budget. Inmates are pre-trial and pre-sentence detainees.

HOC inmate population has been stable at 226; there are 107 staff. Most inmates serve an average sentence of 9-10 months. The jail population is currently holding at 70; 78 staff positions are authorized. The HOC is somewhat understaffed, while the jail now has excess staff, so it is not uncommon for the HOC to "borrow" jail staff.

County

County population is 1.4 million, much of it clustered in urban areas. The HOC is located in a section of the county zoned "rural-residential" where land is valued at approximately \$5,000 an acre. The approved county budget for FY 1977 was \$32.7 million or approximately \$23.43 per capita. Of this, 11.9%, or 3.9 million dollars is correction's share (\$2.81 per capita). This fiscal year, the county will receive approximately \$2.6 million in unearmarked Federal Revenue sharing monies. As in the past, this entire sum will be allocated to the HOC and jail (HOC share FY 1977: \$1.4 million).

The County provides various services to the HOC, including grants management, issuance of salary checks, purchase orders, bookkeeping, etc., out of its offices in the Courthouse.

The Sheriff is elected, has his own budget (sheriff's salary) and spends most of his time overseeing HOC and jail activities.

Budgets

The HOC approved budget for FY 1977 is \$2.1 million, or approximately 6.4% of total county expenditures (\$1.50 per capita). The average daily costs at the HOC as reflected by this budget is \$25.84 per inmate per day. Figure 1 displays the county correctional budgets by major category. There are four budgets: Sheriff, HOC, Jail and Institutional Services. This last budget covers two major service areas to the HOC and Jail. Food services includes cooks, food and dining supplies. Inmate complaints about the quality and quantity of the food resulted in this special unit reporting to the sheriff. Transportation services include court trips, pickups of county admissions and releases to and from state prisons and hospital trips (the HOC infirmary provides intake screening exams and dispenses medication). This arrangement was developed because the vagaries of transportation planning were creating excessive overtime under HOC administration. (The HOC claimed that the numerous court trips for jail prisoners was the crux of the problem.) Transportation is the sheriff's link with the courts and state; not one appointment has been missed since this department was established two years ago.

Most of the Program Staff do not appear on any budget since they are 85% federally funded. The county is gradually assuming funding. Those persons already picked up and funded by the county appear as regular employees in the HOC budget. The balance (34 persons) will gradually be picked up by the county over the next three years. This money is awarded in August of each year; so, in August 1977, federal funding will only be allocated for 50% of staff salaries; in August, 1978, 25%, with the county assuming 100% funding after July 31, 1979. For FY 1977, this federal funding is \$228,997.

Cost Analysis

Public sector budgets are ordinarily not exhaustive documents of correctional costs. However, in order to assess what is missing, it is first necessary to examine the information provided by the budget.

Budget Analysis

The HOC budget categories are a combination of Objects of Expenditure (e.g., Personal Services) and Method of Payment (e.g., contractual services). As such, they are inappropriate for budget analysis. Restructuring and analyzing the budget accomplishes at least two things: (1) gaps or costs not represented in the budget may be identified; and (2) capital costs which are not properly a part of average daily operating costs may be more easily separated and eliminated from the calculations.

Figure 1
COUNTY CORRECTIONAL BUDGETS: FY 1977

A. Sheriff's Budget

1. Personal Services (salaries)	\$21,401
<hr/>	
TOTAL	\$21,401

B. HOC

1. Personal Services (salaries)	\$1,447,686
2. Contractual Services	110,650
3. Supplies and Materials	417,675
4. Current Charges	38,735
5. Equipment	88,012
6. Structure and Improvements	<u>28,700</u>
TOTAL	\$2,131,458

C. Jail

1. Personal Services (salaries)	\$1,436,586
2. Contractual Services	21,400
3. Supplies and Materials	137,550
4. Current Charges	<u>7,435</u>
TOTAL	\$1,602,971

D. Institutional Services

1. Food Services	
1.1. Personal Services (3 cooks: salaries)	\$ 37,200
1.2. Food and Dining Supplies	54,500
2. Transportation Services	
2.1. Personal Services (4 transportation officers - salaries)	54,400
2.2. Vehicle Maintenance and Supplies	<u>14,900</u>
TOTAL	\$161,000

Capital refers to physical plant, land, fixed and movable equipment. It is a one-time expenditure (although its upkeep and financing are not); to include new capital purchases in daily cost estimates will overstate these estimates for the year in which these purchases are made. Daily cost estimates (operating costs) properly include items "used up": personnel, supplies, materials, and an allowance for capital usage. Repair and maintenance of plant and equipment fall into this latter category.

Figure 2 presents the detail of the HOC budget.

Figure 2
BUDGET CATEGORY DETAIL - HOC

1. Personal Services
 - 1.1 Staff Salaries

2. Contractual Services
 - 2.1 Telephone
 - 2.2 Light, Heat, Power
 - 2.3 Professional Services (physician, dentist)
 - 2.4 Building Repair and Maintenance
 - 2.5 Equipment Repair and Maintenance

3. Supplies and Materials
 - 3.1 Building Repair and Maintenance
 - 3.2 Fuel Oil
 - 3.3 Household Supplies
 - 3.4 Hospital and Medical Supplies
 - 3.5 Road Patch Equipment
 - 3.6 Miscellaneous (farm equipment and repair, parts for equipment)

4. Current Charges and Obligations
 - 4.1 Dues and Subscriptions
 - 4.2 Insurance
 - 4.3 Rentals
 - 4.4 Miscellaneous (purchase of town water)

5. Equipment
 - 5.1 Electrical and Mechanical Equipment
 - 5.2 Engineering and Scientific Equipment
 - 5.3 Medical, Dental and Hospital Equipment
 - 5.4 Office Supplies

6. Structures and Improvements
 - 6.1 Building Renovation
 - 6.2 New Watertank

Figure 3 presents a format for budget analysis. Your first task for the commission is to "translate" the HOC budget category entries into the new cost categories. Operating costs have two major sub-components: non-capital and capital. A purchase in the "supplies" account which properly was equipment maintenance would now appear in the "equipment" column under operating costs. Or, the addition of a wing to the building would appear under the New Capital Column -- plant.

Restructure the HOC budget. (Some items stay in the same category.) As an example, the Personal Services column has been filled out. Entry one is, of course, staff salaries. Entry two is Professional Services -- physician and dentist, item 2.3.

BUDGET ANALYSIS WORKSHEET

	OPERATING COSTS					NEW CAPITAL COSTS	
	Non-Capital			Capital		Plant	Equip't.
	Personal Services	Contract. Services	Supplies/ Materials	Current Charges	Plant		
1. Personal Services							
1.1 Staff Salaries	1.1						
2. Contractual Services							
2.1 Telephone							
2.2 Light, Heat, Power							
2.3 Professional Services (physician, dentist)	2.3						
2.4 Building Repair and Maintenance							
2.5 Equipment Repair and Maintenance							
3. Supplies and Materials							
3.1 Building Repair and Maintenance							
3.2 Fuel Oil							
3.3 Household Supplies							
3.4 Hospital and Medical Supplies							
3.5 Road Patch Equipment							
3.6 Miscellaneous (farm equipment and repair)							
4. Current Charges and Obligations							
4.1 Dues and Subscriptions							
4.2 Insurance							
4.3 Rentals							
4.4 Miscellaneous (purchase of town water)							
5. Equipment							
5.1 Electrical and Mechanical Equipment							
5.2 Engineering and Scientific Equipment							
5.3 Medical, Dental and Hospital Equipment							
5.4 Office Supplies							
6. Structures and Improvements							
6.1 Building Renovation							
6.2 New Watertank							

STEP 3

CORRECTIONAL COSTS WORKSHEET

Criminal Justice System Costs

1. HOC adjusted operating costs (budget)

External Costs

Opportunity Costs

STEP 4

COST CALCULATIONS

Medical Insurance

A. Rates \$764/year -- married
\$303/year -- single

B. Average (50% married, 50% single) \$533.50

C. Employees: 103 F/T HOC \$533.50 = \$54,950.50
11 H/T HOC 266.75 2,934.25
11 F/T Jail 533.50 5,868.50

\$63,753.25

Retirement: Total salaries eligible \$1,407,696
X 7% = 98,539

Food

226 HOC population = 76% Jail/HOC population
76% X \$91,700 = \$69,692

Sheriff

Salary = \$21,401
Fringe benefits
Medical 764 (the sheriff is married)
Retirement 1,498

\$2,262

Administrative Overhead

County Budget: \$32.7 million
HOC Estimated Costs: \$2,327,218 = 7.5%

Commissioners & Treasurer's Cost = \$607,363 X 7.5% = \$45,552

TRANSPORTATION COST ALLOCATION

Average Length of Stay: Jail: 30 days; Turnover: 840/year
 Trip detail (1. month)

	HOUSE			JAIL		
	<u># Trips</u>	<u>Average Time</u>	<u>Total Hours</u>	<u># Trips</u>	<u>Average Time</u>	<u>Total Hours</u>
Court	3	6.0	18.0	84	2.75	231.0
Hospital	27	4.75	128.25	6	3.75	22.5
Transfers	<u>6</u>	6.0	<u>36.0</u>	<u>0</u>	-	<u>-</u>
	36		182.25	90		253.5

Total Trips:	126
Total Hours:	435.75

HOC share of total trips:	29%
HOC share of total hours:	42%

Total Transportation Budget:	\$69,300
HOC share =	\$29,106 (42%)

HOC COSTS

Cost Component	Total Cost	ADC (or change)
1. Original HOC Budget	\$2,131,458	\$25.84
2. Adjusted HOC Budget	2,064,458	25.02
3. Jail Staff		
2 Senior C.O. \$27,223	121,209	1.47
9 C.O. 93,986		
*4. Fringe Benefits	162,292	1.97
Medical 63,753		
Retirement 98,539		
*5. Food Services	69,692	.84
*6. Transportation	29,106	.35
*7. Sheriff (50% of time)	11,831	.14
Salary 10,700		
Fringes 1,131		
8. Total	\$2,458,588	\$29.80
*9. Administrative Overhead	45,552	.55
10. TOTAL CURRENT COSTS	\$2,504,140	\$30.36
11. Federally Funded Programs	228,997	2.78
12. ESTIMATED FUTURE COSTS	\$2,733,137	\$33.13

*See cost calculations

HOC: PLANT, EQUIPMENT AND LAND VALUATION

a/ Land

368 acres @ \$5,000/acre b/ = \$1,840,000

house - 178 = \$890,000

free - 190 = 950,000

Building

c/ \$8,164,462 (low)

d/ 9,875,733 (high)

9,020,098 (average)

Equipment

e/ \$169,009 (low)

c/ 279,449 (high)

224,229 (average)

TOTAL VALUATION

HIGH	LOW	AVERAGE
\$ 1,840,000	\$ 1,840,000	\$ 1,840,000
9,875,733	8,164,462	9,020,098
279,449	169,009	224,229
<u>\$11,995,182</u>	<u>\$10,173,471</u>	<u>\$11,084,327</u>

a/ County Engineer, August 11, 1975.

b/ Realtor, September 16, 1975.

c/ Commissioners' Officer Manager, August, 1975.

d/ Insurance Company estimate derived from 60% valuation.

e/ Inventory List, May, 1973.

STEP 6

JUVENILE ASSISTANCE CASE STUDY

The following case narrative is intended to facilitate the development of a study design for performing a cost-benefit analysis. It is suggested that you read the entire narrative through initially; however, the report is structured to provide you with a sufficient amount of information needed for performing each discernable phase of the study planning process.

The first section is designed to help you articulate the programs' goals and objectives. A partial listing has been attached to provide examples. There are several ways to organize goals and objectives: one you might consider is from three perspectives (see Handbook of Cost Benefit Analysis, excerpt, Section IV) as viewed by the individual, the criminal justice system, and the society as a whole.

During the discussion, a handout will be provided indicating one particular framework for conceptualizing and organizing goals and objectives.

Introduction

The Commissioners of County X are faced with a decision about whether or not to assume funding for a model juvenile diversion program located in their county whose federal grant is expiring. The Juvenile Assistance Program began operations two years ago with federal seed money. At the end of the current calendar year its initial grant will be exhausted. The program is managed by a private firm based several hundred miles away. Those involved in the funding decision believe that a study should be performed to determine the program's value to the local community. A benefit-cost analysis has been suggested as a means for ascertaining program costs and the benefits accruing from them. Hopefully, the study product will help the Commissioners decide the relative merits of the program and the level of operations at which it should be refunded.

I. Setting Goals and Objectives

General Description

The Juvenile Assistance Program began operating two years ago with federal seed money as a "model" or "pilot" program. Its initial grant will be exhausted this year. The Juvenile Assistance Program is non-residential and serves 80 children at any given time. Involvement is approximately three months, during which participants are offered intensive counseling, as well as educational tutoring and job training and placement. The program provides an alternative to "traditional" juvenile case processing. Referrals

to the program occur in one of two ways: "formally", through the county Youth Services department, or "informally", through suggestions by parents or schools that a child might benefit by program attendance. "Formal" program referrals occur when decisions are made about whether or not complaints should be disposed of by filing them for appearance before a juvenile court judge. Of all program participants, 80% are formally referred, the balance being informal referrals. The program offers a payoff to successful participants which has positive consequences for the county juvenile justice system. Upon entering the program, a report is sent to the Youth Services department and the State Attorney's Office recommending a "no file" decision on the charge for which the child was referred to the program (for formally referred participants). During the period of program involvement, the State Attorney's Office holds the child's case in abeyance pending successful program completion (the necessary conditions for which will be discussed in the Program Operations section). Approximately 75% of the participants are successfully terminated, and charges are dropped for virtually all these cases which were formally referred. This impacts favorably upon the juvenile justice system by reducing the number of cases which must be processed and appear in court.

Organizational Description

The Juvenile Assistance Program's model status resulted in several characteristics not usually attributable to a community program. For example, it is operated by a private, non-local management consulting firm who was awarded the federal contract for planning, implementation and managerial support functions. Secondly, to fulfill grant requirements, an ongoing evaluation was built into operations. An independent third party evaluator was hired to perform comprehensive pre- and post- participation testing of clients to ascertain exactly what kinds of improvements result from program involvement. For comparative purposes, intake testing and follow up are performed for a matched sample control group. This group of children (approximately 120 for the first year of operations) is significantly correlated with participants with respect to age, sex, race, reason for program referral (intake charges), prior record, grade level, and reading, mathematical and intelligence test scores. Program staff also must assist in evaluation measurement and testing, particularly the Intake Officer (who selects the control group) and the Staff Assistant (who performs pre- and post-testing). This evaluation is intended to document educational improvements, as well as changes in attitudinal and motivational factors.

Program Operations

When a child is selected for the program, he or she is assigned to a counselor, and a "contract" is developed between program staff, the child, and his or her family. It states the goals which must be met for the child to successfully complete the program. A typical "contract" might include

the following as objectives: (1) improvement in reading skills and mathematical skills specified to a particular grade level performance; (2) finding and maintaining a part-time job; (3) learning a saleable skill, e.g., mechanics or data processing. Although many of the educational services required to fulfill "contractual" obligations are available in-house, a substantial number of children go outside to meet their needs. Rather than duplicating services already available in the community, the program attempts to promote an awareness of and accessibility to local community resources. For example, on any given day and as a result of referrals made by their counselor or other program staff, several children attend the local adult education center to supplement the services available at the program.

The "Traditional" Case Processing Alternative

The kinds of events that may occur to a juvenile offender in County X who does not become involved with the Juvenile Assistance Program are presented for comparative purposes. The Intake Flow Chart (Diagram 1, pp. 5-6) Arrested Juvenile Flow for County X (Diagram 2, p. 11) are also useful in determining what may happen to a child as he or she passes through the system.

Formal involvement in the juvenile justice system commences when a child is "arrested"--brought in by police, questioned, and the nature of the offense is determined. Two main kinds of offenses are differentiated: delinquent and status. Delinquent charges are more serious, whereas status offenses include charges which would not be considered criminal if the offender were an adult. The nature of the offense and the child's residential situation determine if detention is necessary, and if so, whether it should be in a secure or non-secure facility. All children go through Youth Services intake, and a decision is reached about whether or not the case should be resolved through adjudication. If it is, preparation is required for a court appearance, followed by the actual hearing before the juvenile judge from the State Attorney's Office. For less serious offenses, most children will have charges dropped or have a formal entry recorded about their offense (e.g., be adjudicated as a "CINS", or Child In Need of Supervision). Children charged with delinquent offenses are more frequently committed to training schools or placed on probation, although they may be dismissed.

Attachments: A partial list of goals envisioned for the program: these reflect the multiplicity of groups upon which the program impacts. It also indicates the organizational commitment to creating a replicable model.

The Intake Flow Chart - Diagram 2.

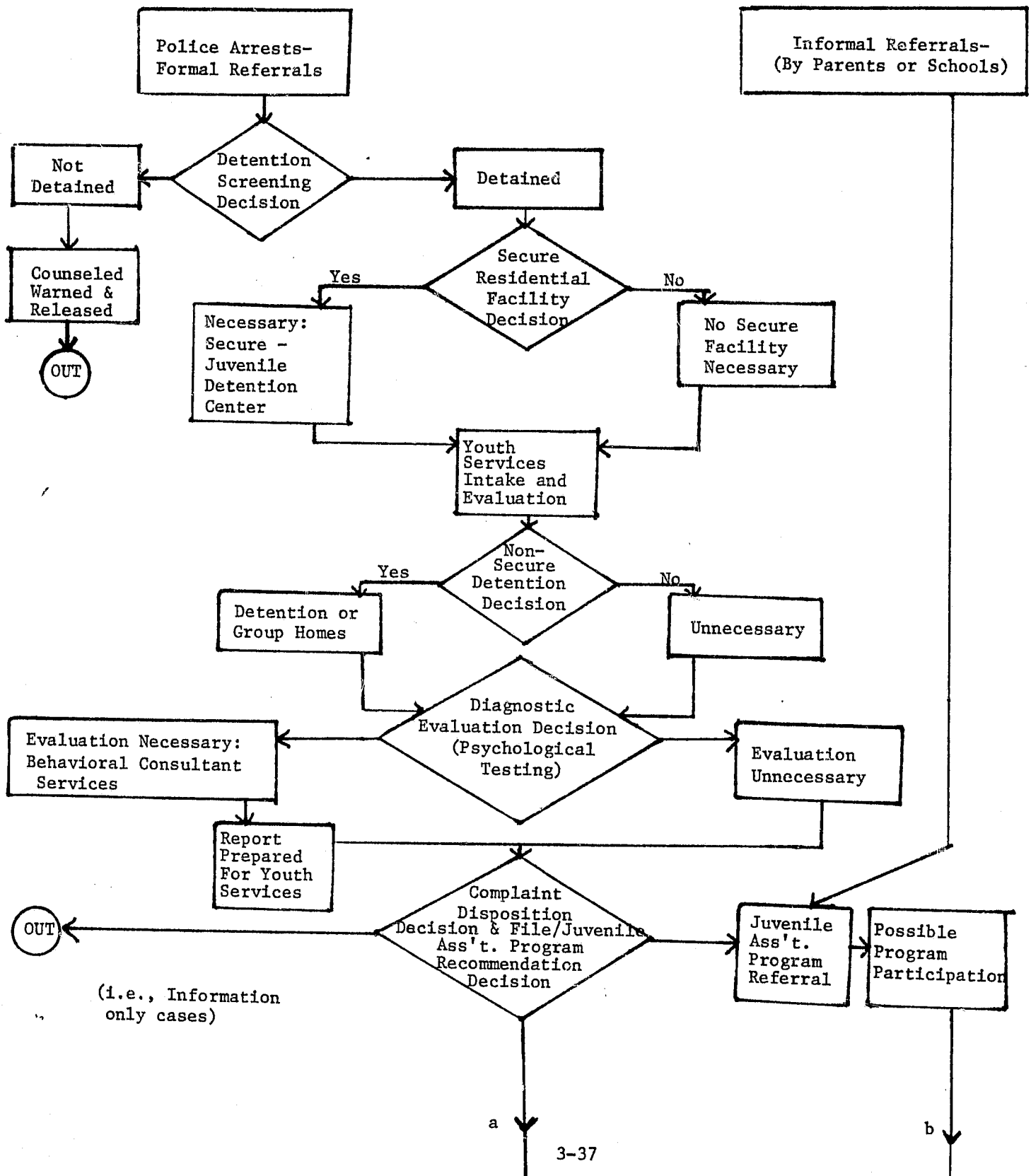
Attachment 1:- Selected Goals: Juvenile Assistance Program

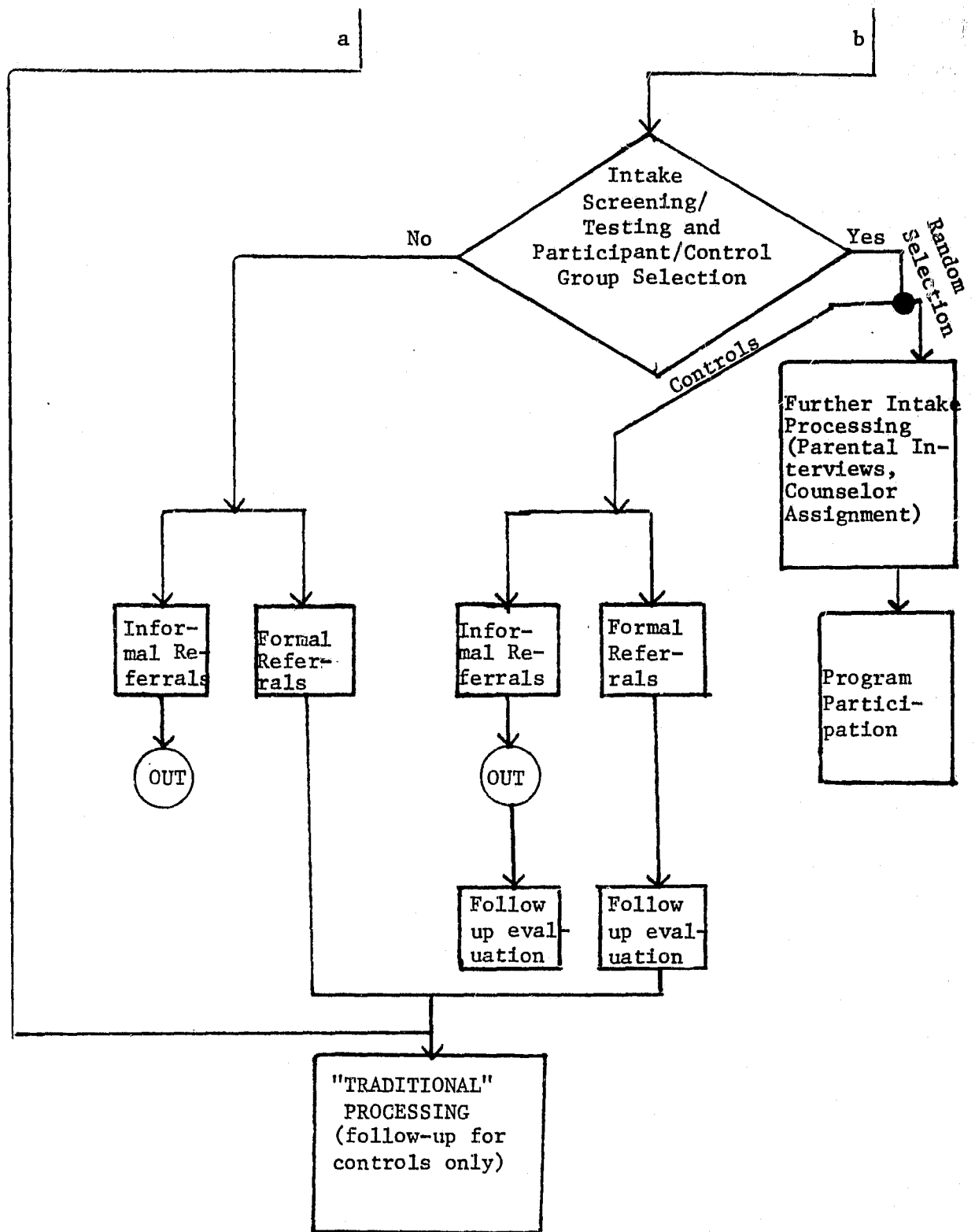
1. Improve basic educational (e.g., verbal, mathematical) skills.
2. Increase self-esteem of program participants.
3. Reduce the number of cases requiring processing and court disposition.
4. Reduce fear among population.
5. Develop the program in a manner that permits replicability.

Attachment 2 - see pp. 5-6.

Diagram 1

Intake Flow Chart





STEP 7

II. Enumerating Benefits and Costs

Introduction

The course of action that has been suggested is to begin by specifying program goals and objectives. In the next step, enumerating the costs and benefits associated with these goals, should be exhaustive: many benefits will not lend themselves to "costing out," but proxies may be used or it may just be helpful to indicate in the final report that non-monetary benefits do exist. While thinking about the costs and benefits which are associated with program objectives, consider the various perspectives that may be applied. For example, a possible cost of program involvement to the individual might be the time loss resulting from losing one's right to a speedy trial. A possible long term benefit to the community (and, by association, the society as a whole) is a reduction in need for security devices and guards as the crime rate diminishes. Although these may seem somewhat academic, an economic approach to analysis requires thinking of all kinds of things that may be considered costs and benefits whether they are monetary, non-monetary, or impact upon the individual, the criminal justice or social services system, or the entire community or society at large.

Which of these costs and benefits can be measured, given the time and resource constraints of the study period, the possible data available, and the politics of the situation? What kinds of data are needed to attach dollar signs to costs and benefits? If benefits cannot be measured directly, are there any proxies for documenting them? What other statistics are necessary to perform the analysis? Where or to whom might you go to get data? What kinds of manipulations would be necessary to get data into usable form?

The narrative that follows provides enough information to develop a list of costs and benefits. The first several pages (8-10) provide information for enumerating costs. (The information already provided in Part I will also be useful.) It is suggested that you try to list all costs first. The additional information necessary for articulating benefits is presented in pages 11-13; however, a comprehensive listing of benefits will require using data from Part I as well. Verbal instructions and assistance will also be offered.

If the information provided seems too abstract to you, try to imagine a similar situation in your agency or community. Think about the political implications of introducing a juvenile diversion program into the community, and then trying to determine its value for determining funding decisions. Consider the kinds of data you might be able to find in your agency, the problems inherent in that data, and how you could circumvent them.

Additional Information for Costs Determination (pages (8-10))

Program budget for the first year of operations: includes salaries for 17 staff, and all other expenditures required for program operation. Because of the program's model status, several costs for staff and reproduction of forms related to the evaluator are included. Most "start-up" costs have been eliminated, with the exception of the car, which had a purchase price of \$6,000.

Juvenile Assistance Program Budget (annual)
(First Year of Operation)

Salaries and Fringe Benefits <u>a/</u>	\$206,846
Consultants and Temporary Help <u>b/</u>	3,030
Travel and Auto <u>c/</u>	21,900
Supplies (consumables and xerox) <u>d/</u>	9,250
Telephone and Postage	8,200
Office Operations:	
--Supportive Funds (includes utilities) <u>e/</u>	4,800
--Equipment, Furnishing and Leaseholder improvements <u>f/</u>	7,350
Evaluation Contractor <u>g/</u>	13,200
Overhead and Fee (private management)	<u>82,738</u>
TOTAL ANNUAL EXPENDITURES	\$357,314

a/ Includes salaries for the following program staff: Director, Assistant Director, Vocational Coordinator, Intake Officer, Screener/ Receptionist, Contracts Coordinator, Staff Assistant, 5 Counselors, 3 Tutors and 2 Secretaries. Fringe Benefits are approximately 17%. Although the majority of staff time is spent on delivery of services and the managerial and supportive assistance directly related to service delivery, the program's model status requires that several staff spend considerable amounts of time in evaluation-related activities. For example, the Program Director estimates every staff member spends at least 10% of his or her time completing client evaluation forms. In addition, the Intake Officer (annual salary, \$12,750) spends an additional 15% in interviewing children who are chosen for the control group; and the Staff Assistant (annual salary, \$8,000) spends 40% more time (over the 10% attributable to all staff) in pre- and post-testing of participants. There are also four part-time volunteers (approximately 15 hours per week each), two of whom perform clerical tasks, while the others provide tutoring assistance.

- b/ Includes assistance hired to complete planning and devise evaluation methodology.
- c/ Includes total purchase price of the automobile, insurance, auto operation and travel and per diem for management.
- d/ Includes all consumable paper supplies, educational materials, and xeroxing. Approximately 25% of the xeroxing is for evaluation forms.
- e/ Includes utilities and client-related "emergency expenses (meals, transportation, clothing as needed). Rent is excluded because it is provided gratis although logically it would be included within office operations.
- f/ Includes purchases of all equipment (typewriters, desks, file cabinets, etc.) and leaseholder improvements (installation of carpeting and paneling).
- g/ Salary and fringes paid to the evaluation consultant.

The following chart indicates the kinds of community resources frequently utilized and the number of children using them.

<u>Community Service (Name and Description)</u>	<u>Average Daily Attendance by Program Participants</u>
Vocational Rehabilitation Education Center (includes client evaluation and counseling, course work materials, restorative services for physical disabilities, access to special equipment).	2
Center for Adult Learning: Adult General and Vocational-Technical Training. (Basic skills preparation and Graduate Equivalent Degree training are included as Adult General Programs; Vocational- Technical Training includes auto mechanics, data processing, cosmetology and other vocationally-oriented programs which require the availability of special equipment and materials).	7 (Adult General Programs) 16 (Vocational- Technical Training Courses)
Neighborhood Youth Corps Program (places youth in jobs, usually for the summer or a period of similar duration. Participants gain job experience and earn a salary).	4

Additional Information for Benefits Determination

Employment

Approximately 30% of the participants have part-time jobs when they enter the program. They are encouraged to maintain their employment--program staff are flexible with regard to other commitments--whereas this flexibility may very well not be possible if they were being "traditionally" processed. Additionally, the Vocational Coordinator succeeds in placing another 25% of the participants in jobs. The average earnings for employed participants are \$250 for a duration of 30 days. Most of these children (over 85%) maintain their jobs at program completion, working an average of 20 hours per week at \$2.45 per hour.

Education

The program evaluator documented educational improvements resulting from program involvement. Of all the children who have completed the program, 75 improved an average of .70 grade level in reading skills; 70 had increases of .80 grade level, on average, in math skills. (Total program participants number 400.) Two participants had received their Graduate Equivalent Degrees (GED) because of arrangements made by program staff, and an additional 15 are enrolled in GED preparatory courses. Counselors or tutors made arrangements with the public school system for participants to receive credits for comparable work performed while in the program. As a result, 14 children were promoted to a higher grade level by earning credits through the program's educational component.

Comparative Dispositions and Rearrests

As discussed earlier, 75% of all participants are successfully terminated, resulting in dropped charges for those referred from the Youth Services Department. Those children who were unsuccessfully terminated received dispositions similar to those received by "traditionally" processed children. The costs incurred by court appearances, etc. required for these unsuccessfully terminated participants may be thought of as the cost of the program's "failure rate."

The control group's dispositions were more severe than their counterparts in the program, and than the representative outcomes indicated in Diagram 2. This may be because the program Intake Officer selected the most difficult cases for the participant and control groups, or it may have been a random (sampling) effect. The control group's dispositions are indicated below.

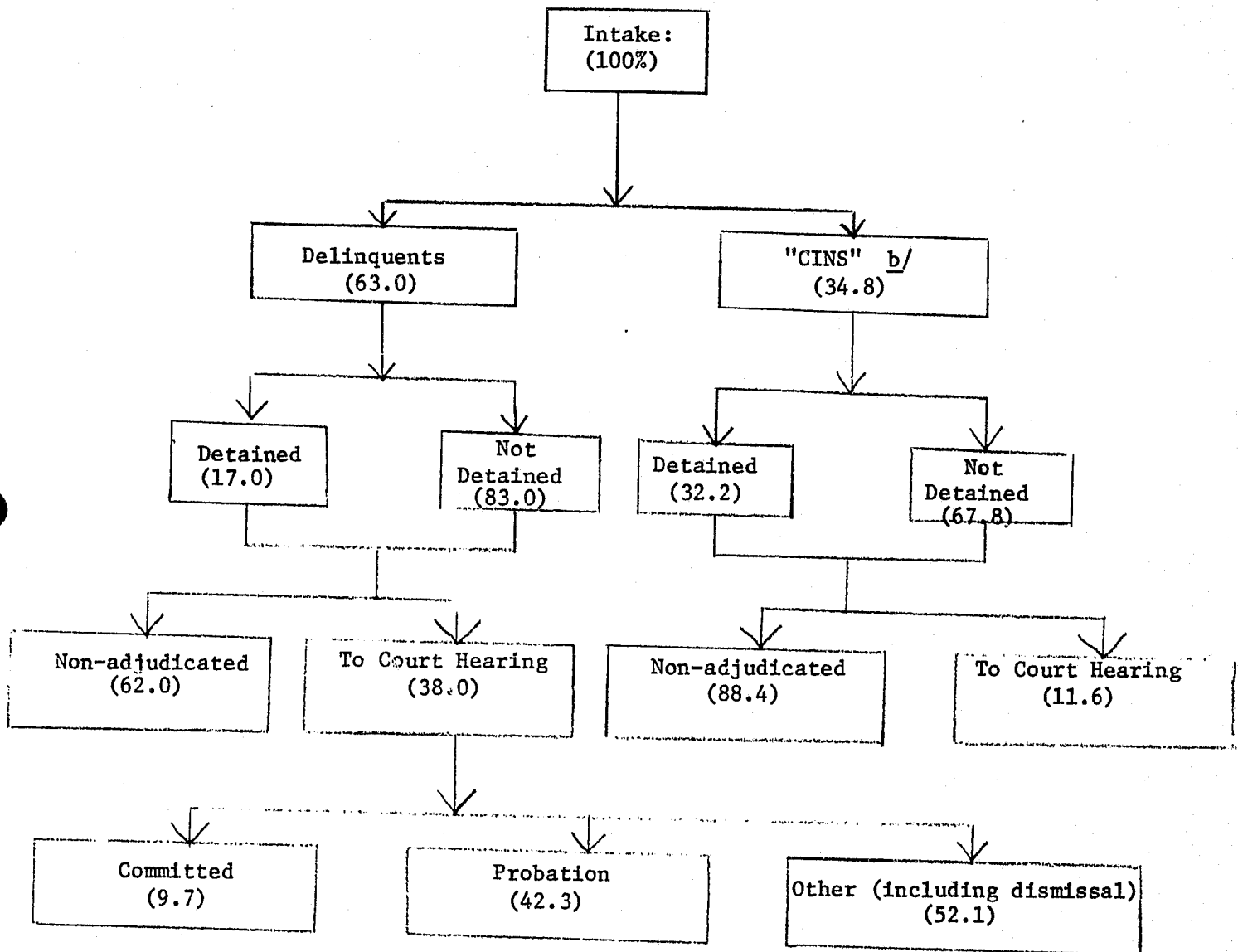
Control Group Dispositions
(Formal Referrals Only)

Non-Adjudicated (no court appearance necessary):	35%
Adjudicated:	
As CINS	10%
As Delinquents	14%
Probation/Court Warnings	35%
Commitments (to training schools):	<u>6%</u>
	100%

Follow-up was performed for both controls and participants after their termination from the program at three-month intervals. Rearrest data could be documented for 98% of the children who had completed the program (the remaining 2% had moved from the county or information was otherwise unavailable). Thirty-two percent and 44% had been rearrested, respectively, for the participant and control groups. The rearrest offenses for controls were somewhat more serious than those for their counterparts in the participant group.

Diagram 2

ARRESTED JUVENILE FLOW
FOR COUNTY X a/



- a/ Percentages in parentheses indicate proportion of total number of arrested children who are processed through each outcome from each immediately preceding outcome.
- b/ "CINS" = Children in Need of Supervision.

GOAL HIERARCHY AND BENEFIT-COST MODEL

INDIVIDUAL SYSTEM SOCIETY	Develop Community Assistance and Support for Juvenile Offenders		Facilitate Program Replication	
	Objective: To Increase Involvement of Community With Juvenile Offenders		Objective: To Assure Administrative Accountability	
	Activities: • Work Awareness Sessions • Job Placement, Work Experiences • Agreements With Local Organizations for Education, Health, Training, Etc.		Activities: • Intensive Management Supervision • Program Evaluation • Benefit-Cost Analysis	
	Benefits	Costs	Benefits	Costs
	1. Increase juve- niles' employment opportunities as perceptions im- prove.	1. Marginal cost of adding Program's referrals to existing services.		
	2. Avoid repli- cation of services.	1. Marginal cost of adding Program's referrals to existing services.	1. More efficient recordkeeping techniques. 2. Documentation of program outcome for monitoring contract.	1. Cost of additional documentation efforts for evaluation.
	3. Interaction with community will facilitate reintegration.	2. Inputed value of volunteer labor. 3. Unemployment of non-participants who are crowded out of the job market.	3. More efficient allocation of society's resources as correctional technology is improved.	2. Costs of testing innovative programs and transferring to other jurisdictions.

GOAL HIERARCHY AND BENEFIT-COST MODEL

Broad Goal: Reduce Juvenile Crime

Minimize Penetration (Short-Run)		Reduce Recidivism (Long-Run)	
Objectives:	<ul style="list-style-type: none"> • Produce Positive Attitudinal Change • Prepare Juveniles for Employment 		
Activities:	<ul style="list-style-type: none"> • Counseling • Contract Programming • Volunteer Services 	<ul style="list-style-type: none"> • Opportunities for Academic Achievement • Job Placement 	
Benefits	Costs	Benefits	Costs
INDIVIDUAL	1. Greater job finding capacity.	1. Costs to the individual associated with time spent in Program.	1. Reduce contact with juvenile system.
	2. Avoid stigma.		2. Increased life time earnings from improved education and skills.
	3. Avoid lost work time.		
	4. Higher self-esteem.		
	5. Improve motivation.		
	6. Vocational skills.		
	7. Vocational tutoring.		
	8. Employment during program participation.		
SYSTEM	9. Reduced cost to "traditional" system.	3. Program costs.	3. Reduce case backlogs.
	<ul style="list-style-type: none"> • Court • Probation • Institution 	4. Cost of education and vocational services provided by outside agencies.	4. More efficient judicial processes.
SOCIETY		5. Less long-run costs to juvenile and adult system.	5. Less long-run costs to juvenile and adult system.
	10. Increase in contribution to social welfare.	6. Reduction in adult crime.	6. Reduction in adult crime.
	<ul style="list-style-type: none"> • Increased taxes from employment and higher incomes. 	7. Less fear.	7. Less fear.
		8. Greater productivity as fewer require correctional services.	8. Greater productivity as fewer require correctional services.
			2. Social costs of insurance companies, security manufacturers, guard services as demand declines.
			3. Increased competition for available jobs.

BENEFITS AND COSTS WORKSHEET

PROGRAM GOAL	MINIMIZE PENETRATION AND REDUCE RECIDIVISM	DEVELOP COMMUNITY ASSISTANCE AND SUPPORT	FACILITATE PROGRAM REPLICABILITY
PERSPECTIVE	BENEFITS AND COSTS	BENEFITS AND COSTS	BENEFITS AND COSTS
<div data-bbox="25 803 59 868" data-label="Text">3-49</div> <div data-bbox="117 885 151 998" data-label="Text">SOCIETY</div>			

BENEFITS AND COSTS WORKSHEET

PROGRAM GOAL PERSPECTIVE	MINIMIZE PENETRATION AND REDUCE RECIDIVISM BENEFITS AND COSTS	DEVELOP COMMUNITY ASSISTANCE AND SUPPORT BENEFITS AND COSTS	FACILITATE PROGRAM REPLICABILITY BENEFITS AND COSTS

3-50

SYSTEM

BENEFITS AND COSTS WORKSHEET

PROGRAM GOAL PERSPECTIVE	MINIMIZE PENETRATION AND REDUCE RECIDIVISM	DEVELOP COMMUNITY ASSISTANCE AND SUPPORT	FACILITATE PROGRAM REPLICABILITY
	BENEFITS AND COSTS	BENEFITS AND COSTS	BENEFITS AND COSTS
<div data-bbox="52 763 157 933" data-label="Text"> <p>3-51 INDIVIDUAL</p> </div>			

STEP 8

DATA SOURCE WORKSHEET
OUTLINE

Comments or Questions	
Possible Data Sources	Names, Offices, Agencies, Documents, Reports, Articles
Data Elements	<p>What data are needed to derive the information component (if not clear from information component, should be from description)--what budget records; specifically, what statistical records--e.g., for steady state program operations the following list may be needed:</p> <p>Program budget</p> <ol style="list-style-type: none"> (1) Personnel - salaried employees <ul style="list-style-type: none"> • Wages • Fringe benefits (2) Office Operations <ul style="list-style-type: none"> • Supplies • Telephone • Utilities • Xerox, reproduction (3) Services (other than personnel salaries) <ul style="list-style-type: none"> • Educational • Counseling • Evaluation, diagnostic • Other (4) Capital Expenditures <ul style="list-style-type: none"> • Rent • Car (amortized) and maintenance • Furniture and equipment (amortized) • Equipment repairs, servicing <p>NOTE: This list is not exhaustive and may not include all elements necessary for deriving a specific agency or program operating cost.</p>
Description	Define or describe the information component if it is not clear from its name--e.g., for average operating cost per participant, it may be "all direct costs incurred in program operations divided by number of participants"
Information Component	What information is needed to derive the cost or benefit? This will usually be a synthesized or constructed component, e.g., average daily cost per inmate, average operating cost per participant
Stage in System	Indicate all stages in the criminal justice system that affect this cost or benefit
Cost/ Benefit	State the cost or benefit being addressed

JUVENILE ASSISTANCE CASE STUDY
DATA SOURCE ANSWERS

Completion of the data source worksheet results in a comprehensive matrix incorporating many kinds of data. Some typical results for this case include the following.

1. Police costs of a juvenile arrest (for calculating averted juvenile justice system costs):
 - Police salaries and fringe benefits.
 - A percentage of costs for operating the police department, including clerical support, all other personnel involved in the arrest procedure, office operations, etc.
 - A percentage of costs for operating and maintaining police automobiles used in arresting juveniles.
 - An estimate of the amount of time spent on an "average" juvenile arrest.
 - Number of juveniles arrested over a certain time period.
(All data available from interviewing police.)
2. Cost of adult educational programs in the community used by participants (external system cost).
 - Total cost of each kind of program on an annual average full time equivalency basis, including a percentage for the amortized cost of educational equipment.
 - Building operations and maintenance.
 - Derivation of a proportion or ratio based on the amount of time program participants spend in programs compared total number of student hours (for taking a proportion of costs).
(Data available from several sources: cost data from accountants in the education department, number of students from the registrar's office, number of children attending courses from the program.)
3. Calculation of an average juvenile court appearance: This is a difficult cost to obtain because many variables are involved. Several interviews were required with various court and juvenile justice personnel to extract all the information necessary. A partial list includes:

- Salaries and fringe benefits for juvenile court and judges.
- Salaries and fringe benefits for bailiff, secretaries and judges.
- Salaries and fringe benefits for personnel in the court clerk's office.
- Costs of office operations (including utilities, building maintenance, communications, witness fees, court reporters).
- Salaries and fringe benefits for public defenders.
- Public defender supportive services -- investigator, interviewer, secretaries' salaries and fringe benefits.
- Costs of office operations for public defender.
- State Prosecutor's salaries and fringe benefits.
- Costs of office operations for State Prosecutor.
- Case flow data and time expenditure data for case processing by all personnel indicated earlier (for deriving a weighted average for the various court appearance alternatives).

Note: Deriving a cost for an average juvenile court hearing required diverse kinds of data. Some -- like case flow data -- exist in fairly adequate form and are up-to-date. However, for certain elements, like time expenditure data, no information was recorded. Several interviews were required, and the most frequent response was that it was impossible to think in terms of an average in "typical" case. Thus estimates had to be used. Generation of this information component required approximately 10 days of data collection, interviewing, attempting to derive proxies by consulting other local jurisdictions, and data compilation and analysis.

DATA SOURCE WORKSHEET

Cost/ Benefit	Stage in System	Information Component and Description	Data Elements	Possible Data Sources	Comments or Questions

STEP 9

JUVENILE ASSISTANCE CASE STUDY

Results and Conclusions

At the conclusion, you may be interested to learn the political environment within which a model program like this one was developed, and the outcome of the study.

Scenario:

County X is a moderately sized jurisdiction with a mean per capita income well over the national average. A large proportion of its residents are older and senior citizens who frequently express concern about juvenile crime. Upon inception, the program met with acceptance and vocal support from many influential persons and groups in the community. As an indication of community approval, it was provided gratis with office and program space in a building previously housing assistance to the elderly (the expense of which is absorbed by the County). For the most part, the program continues to enjoy community support: the staff, many of whom are representative of the community's minority groups, are vocal and enthusiastic, and have succeeded in creating neighborhood support for activities (car washes, bake sales) sponsored by the program, and helping participants find jobs; the program's assistant director, a minority group member, has been involved in local political efforts and is currently a member of the city council; the other agencies and services with whom the program staff frequently interact (County Youth Services, health and educational units) express support for the program.

The State Attorney's Office, however, has been slightly less cooperative, ostensibly because they see the program as interfering in normal daily operations and increasing the flow of forms and papers. As a model program, an evaluation is required by the federal granting agency, which necessitated using a control group. The State Attorney's Office ultimately agreed to cooperate with this procedure, but criticized the concept of selective opportunity for program participants. Occasional problems have arisen since, particularly when recommendations are made to the court to drop charges following successful program termination for "tough kids" who have previously been through juvenile court for earlier offenses. (The control group and evaluation are discussed further in the narrative).

The State Attorney's attitude may reflect a generally shared bias about the program's non-local management. There is some resentment because, as the program has routinized operations, management visit less frequently and have less visible on-going involvement with related organizations in the community. The Commissioners do recognize that the program has, however, been perceived as beneficial to the community, and this has been attributed to good planning and design on the part of management.

Results

The results of the analysis are presented below. Several sets of results are indicated based upon whether steady state or total costs of program operations are included. Additionally, sensitivity analysis was performed with long term increases in lifetime productivity as the independent variable (varying from high discount rates and no change in productivity to a 3% discount rate and 4% increase in productivity). The discount rate and productivity increase chosen for the analysis determine whether or not the program may be considered a worthwhile societal investment.

a/ BENEFIT-COST COMPARISONS

1. Most Conservative Estimate: Long-term Earnings Benefit Excluded

<u>Benefits</u>		<u>Costs</u>	
Diversion Benefit			
* Short-term: Reduced Disposition Costs	\$96,575	Program Steady-state Operating Costs	\$429,667
* Longer-term: Reduced Participant Rearrests	5,047	External System Costs	
Earnings Benefits:		* Additional Community Services	82,202
* Short term	41,648	* Juvenile Justice System Costs	15,399
	<hr/>		<hr/>
TOTAL	\$143,270	TOTAL	\$527,268
Benefit-Cost Difference for 1974-75 =-\$383,998			

a/

Does not correspond to cost data presented earlier because adjustments have been made for deriving costs and scale of operations is different.

2. Long-term Earnings Benefit
Included (highest discount rate &
lowest productivity rate)

<u>Benefits</u>		<u>Costs</u>	
Diversion Benefits:			
* Short-term: Reduced Disposition Costs	\$96,575	Program Steady State Operating Costs	\$429,667
* Longer-term: Reduced Participant Rearrests	5,047	External System Costs:	
		* Additional Community Services	82,202
Earnings Benefits:			
* Short-term: Participant Earnings	41,648	* Juvenile Justice System Costs	15,399
* Long-term: Increased Lifetime Productivity (7% discount rate, 0% productivity increase)	105,000		
TOTAL	\$248,270		\$527,268

Benefit-Cost Ratio = .47

Benefit-Cost Difference 1974-75 = -\$278,998

3. Moderate Estimate

<u>Benefits</u>		<u>Costs</u>	
Diversión Benefits:			
* Short-term	\$96,575	Program Steady State Operating Costs	\$429,667
* Longer-term	5,047	External System Costs:	
Earnings Benefits:			
* Short-term	41,648	* Additional Community Services	82,202
* Long-term (5% discount rate, 3% productivity increase)	289,000	* Juvenile Justice System Costs	15,399
TOTAL	<hr/> \$432,270		<hr/> \$527,268

Benefit-Cost Ratio = .82

Benefit-Cost Difference 1974-75 = -\$94,998

4. Least Conservative Estimate

<u>Benefits</u>		<u>Costs</u>	
Diversión Benefits:			
* Short-term	* 96,575	Program Steady State Operating Costs	\$429,667
* Longer-term	5,047		
Earnings Benefits:		External System Costs:	
* Short-term	41,648	* Additional Community Services	82,202
* Long-term (3% discount rate, 4% productivity increase)	626,000	* Juvenile Justice System Costs	15,399
TOTAL	\$769,270		\$527,268

Benefit-Cost Ratio = 1.5

Benefit-Cost Difference 1974-75 = \$242,002

5. Using Actual Program Operating Cost

<u>Benefits</u>		<u>Costs</u>	
Diversions Benefits:			
* Short-term	\$ 96,575	<u>Actual</u> Program Cost for the 1st Year of Operation	\$460,236
* Longer-term	5,047		
Earnings Benefits:		External System Costs:	
* Short-term	41,648	* Additional Community Services	82,202
* Long-term	626,000	* Juvenile Justice System Costs	15,399
<hr/>		<hr/>	
TOTAL	\$769,270	TOTAL	\$557,837

Benefit-Cost Difference,
1974-75 \$211,433

Inclusion of the long-term earnings benefits at a three percent discount rate and four percent increase in productivity, the fourth and fifth comparisons indicate the Juvenile Assistance Program is a worthwhile societal investment.

MODULE 3: RELATED TOPICS AND MATERIALS
UNIT 2: THE URBAN POLICY GAME

The Urban Policy Game is a role playing simulation of the local government budget process. Workshop participants assume positions common in local government: mayor, council members, planners, line administrators, the press. They are required to develop strategies for allocating scarce resources among a number of competing interests within a fixed amount of time.

There are several questions raised by this simulation. How can short term solutions create long term problems? Can more planning and rationality be introduced into government decision-making? What are the roles of communication, bargaining and trust in politics? How can objective information be integrated into the political process? It also illustrates the difference between legislative and administrative politics, a difference which is frequently misunderstood. Because participants must deal with unfamiliar substantive issues, the problem of generalizing personal experiences is simplified. The Game is also a good means for establishing a group coherence among the participants. The simulation, prepared by Thomas Henderson and John Foster, is available from John Wiley & Sons. Inc. and is listed in the bibliography.

OBJECTIVES

1. To illustrate the political dynamics which must be taken into account when doing policy analysis.
2. To provide a common experiential basis among the participants for use in other parts of the program.
3. To demonstrate strategies which may be used when implementing the products of policy analysis.

CONCEPTS

1. The public decision process involves resolving conflicting values held by the principal actors.
2. The values may involve political advantages, programmatic commitments, administrative requirements, and/or personal concerns.

3. Public decisions tend to evolve through a process of bargaining and compromise rather than as a product of a single choice mechanism.
4. Objective information may have little effect on the decision outcomes unless it is cast in terms relevant to the political process involved.

PROCESS AND MATERIALS

Step 1

The role assignments should be made in advance; a brief overview of the steps in the game and the rules should be given by staff; the simulation itself may be conducted in one or two sessions of three hours each; it is critical that a final discussion session be conducted in which the parallels between the simulation and policy analysis are drawn out.

Readings: a. Henderson and Foster, Urban Policy Game
Notes: a. Urban Policy Game Parallels to Policy Analysis Workshop

STEP 1

URBAN POLICY GAME PARALLELS TO POLICY ANALYSIS WORKSHOP

Module 1: The Policy Analysis Process

1. Managerial Perspective (Managers):

Use of Planning Agency to anticipate impact.

Information as bargaining tool.

Objective analysis (relationship between budget and Metro Signs) vs. normative (Keywords).

Uncertainty because of political factors vs. uncertainty because of lack of information (on Metro Signs) or knowledge (impact of Keyword distribution on Metro Signs) or incalculable uncertainty (inflation factor).

Need for experiential basis for political decisions (coalition formation, bargaining, compromise) of objective analysis for programmatic and administrative decisions.

2. Policy Analysis: An Analytical Perspective (Analysts):

Planning (identifying desirable objectives) vs. policy analysis (determining relationship between budget and Metro Signs).

Budget analysis (identifying impact of distribution on Keywords) vs. policy analysis (predicting future effects on agency performance, i.e., Metro Signs).

The limits to objective analysis (cannot identify proper Keywords).

3. The Issue Paper:

Policy Analysis as a means of classifying objectives (identifying Keywords vs. Metro Signs vs. just getting a budget assembled which is "fair" or will pass).

Can conflicting values be reconciled by policy analysis, e.g., should decisions be based on maximizing Metro Signs when some participants will lose in the process?

For whom is policy analysis being conducted--agency, mayor, council, society?

Need for analysts--i.e., finance officers, planners--to work with the decision makers--i.e., mayor, agency heads--to determine proper objectives--i.e., Keywords, Metro Signs, affluent society, "fair" society.

4. Developing a Policy Analysis Capability:

Finding time to do policy analysis--Planners only ones who have leisure and incentive.

5. Decisions in the Public Sector:

Difference between making budget decisions on basis of Keywords, Metro Signs, agency position, or what will pass.

Is there any way to determine "proper" budget distribution through policy analysis?

Module 2: The Outcomes of Policy Analysis

1. Uncertainty of the Technology:

The impact of budget distribution among the Keywords on Metro Signs (high certainty) vs. assessing program impact (low uncertainty).

2. Identifying Alternative Courses of Action:

Planning process in the game.

The use of Metro Signs to clarify objectives.

3. Political Uncertainty:

Keyword commitments of different roles.

The role of the press.

Bureaucratic maneuverings vs. bargaining among elected officials.

4. Technological Strategies:

Identification of formula for increasing Metro Signs.

5. Political Strategies:

Building coalitions among participants.

Using the press as a communication link.

Formal powers of the mayor and council.

Budget agency's control over information about the process.

Module 3: Related Topics and Materials

1. Techniques of Policy Analysis:

Use of role playing as an analytical tool as opposed to a training technique.

The need to identify key decision points in modeling a process.

MODULE 3: RELATED TOPICS AND MATERIALS

UNIT 3: THE PROBLEMS OF ANALYSIS IN A PUBLIC SETTING

This unit can be used as a conceptual introduction to policy analysis or in conjunction with other units to emphasize the many methodologies that are useful. A brief case study, Definite Sentencing (1), demonstrates how several disciplines (law, economics and modelling) can be integrated within a single study.

OBJECTIVES

1. To describe the disciplines and analytical techniques which can be used in policy analysis.
2. To develop a familiarity with the basic postulates underlying economics, political science and law and discuss how these affect the way problems are analyzed.
3. To provide experience in designing a multi-disciplinary research project.

CONCEPTS

1. Analysis of policy issues or problems typically requires the expertise of several disciplines.
2. Selecting a particular frame of reference (e.g., sociological, political, economic, etc.) will determine how observable phenomena are described or explained.
3. Scientific tradition in Western thought places rationality at the center of knowledge; Eastern thought emphasizes extra-rational means (e.g., intuition) in acquiring knowledge.

PROCESS AND MATERIALS

Step 1

An introductory lecture distinguishes and compares policy analysis, program evaluation, process monitoring. The range of quantitative and non-quantitative techniques is discussed using the Policy Analysis Hierarchy. (Time: 60 minutes)

- Lecture: a. Techniques of Policy Analysis
- Readings: a. Quade, Analysis for Public Decisions, Chapters 7-11, 13, 15-16
- b. Kazanowski, "A Standardized Approach to Cost-Effectiveness Evaluations"
- c. Wildavsky, "The Political Economy of Efficiency"
- Notes: a. Policy Analysis Hierarchy

Step 2

Participants read the scenario for Definite Sentencing (1) and are asked to individually develop a brief statement of project objectives, study process, possible research products and advantages/disadvantages of their approach. Group size permitting, the trainer can lead a group discussion of the proposals, record on flip charts and highlight those that differ in their methodology and/or social science discipline used. (Time: 75 minutes)

- Notes: a. Definite Sentencing Case Study (1), pp. 1-3
- Forms: a. Definite Sentencing Worksheet (1)

Step 3

Small groups (maximum 4 each) are formed—preferably with individuals that have or proposed using different methodological approaches and/or disciplines. Groups develop a single proposal they think most appropriate for the hypothetical client. (Groups may be given the list of alternative approaches, pp. 5-7, if necessary.) Results are reported and discussed in terms of the techniques, effects of budget size and time limits on methods selected, and the discipline(s)—economics, law, psychology, etc.—implied by the proposals. The "Proposal Model" can be presented as one approach. (See Module 1, Unit 3 for how the materials developed here can be used to present research management concepts.)

- Notes: a. Completed Definite Sentencing Worksheet (1)
- b. Optional. Alternative Approaches
- c. Proposal Model
- Forms: a. Definite Sentencing Worksheet (2)

Step 4

A lecture/discussion presents more formally the origins of the scientific paradigm, common sub-paradigms in criminology and the role values play in studying phenomena.

- Lecture: a. Analytical Paradigms
- Readings: a. Pirsig, Zen and the Art of Motorcycle Maintenance Reading Notes
- b. Capra, The Tao of Physics, pp. 17-44, 52-74
- c. Tabasz, Toward An Economics of Prisons, pp. 1-8, 33-41
- d. Sykes, Society of Captives, pp. 13-39
- Notes: a. Reading Notes for Pirsig's Zen and the Art of Motorcycle Maintenance

STEP 1

TECHNIQUES OF POLICY ANALYSIS

I. POLICY ANALYSIS CONTENT

- A. Policy analysis: Systematic application of behavioral science techniques to public decisions--economics, sociology, political science, psychology, law. Thus, it differs from public information activity or simple record keeping frequently performed by agency research offices.
1. Involves comparison of alternatives against some criteria instead of merely describing what is (gathering statistics).
 2. Data must be as objective as possible, not just a "selling job".
 3. Data gathered must be relevant to a decision, not just interesting.
 4. Specific to a problem rather than on-going monitoring.
 5. Concepts must be self-conscious rather than implicit.
 6. Explanatory framework must be explicit--e.g., economic, sociological, psychological--rather than implied or non-existent.
 7. Systematic relation between concepts and data, rather than collecting interesting statistics in search of a theory.
 8. Probability of error must be calculated or estimated, not allowed to emerge later.

II. POLICY ANALYSIS AND TRADITIONAL RESEARCH

- A. Critical differences between research in an academic setting and policy research:
1. Justification: Inform a decision rather than theoretical importance.
 2. Time Limitation: Matter of degree but policy analysis more severe.

3. Resource Limitation: Must frequently be satisfied with in-house skills and data.
 - a. Must still do policy research even if data base seems inadequate.
- B. The justification is a difference in kind; but time and resource limitations are a matter of degree.
 1. Traditional research can search elsewhere if data and time are inadequate for a problem; policy analysis has to be done.
 2. However, research also balances importance with time and data reliability. E.g., dummy variables (proxies) may be used.
 3. Major effect of difference is policy analysis must tolerate a higher risk of error in most cases.
 - a. Cannot wait for more, or better, data.
 - b. Must rely on some "hard" data, some "soft".
 - c. But, must still estimate probability of error.
 4. Research is done in political context, but the research effort is not political.
 - a. E.g., future prison needs may be based on series of estimates that include deterioration in present facilities, future prison population, and economic conditions.
 - b. Politics may restrict variable selection, but this does not eliminate the scientific need to estimate the probability of error. (The less you measure the greater the error.)
- C. Inevitability of high risk--one reason why the search for multiple explanations and multiple data sources are so important.
 1. Use "hard", "soft", primary, secondary.
 2. Two criteria for selecting data sets:
 - a. Is it relevant to the problem?
 - b. Will it reduce the margin of error?
 3. E.g., flow charting relatively primitive for description; but may be useful in clarifying interrelationships.

III. ANALYTICAL TECHNIQUES

- A. Analytical techniques vary in their explanatory power and their reliability (i.e., probability of error).
 - 1. Generally speaking, the more quantification and the more complete the number of variables included the greater the reliability and explanatory power. But, two rarely are compatible--more variables mean less likely you can quantify.
- B. "Explanatory power" means the ability to understand a significant variation. It is closely related to the number of variables used.
 - 1. Evaluations of alternative parole supervision strategies on a few characteristics of either the probation officer or the parolee is not likely to explain much.
- C. "Reliability" means the ability to estimate the confidence you have in the results being accurate. It is closely related to quantification.
 - 1. If quantification is possible can use statistical techniques.
 - 2. If quantification not possible, must rely more heavily on guesses and feelings.
- D. Range of analytical techniques (Policy Analysis Hierarchy).
 - 1. Verbal analysis--broad number of factors but little quantification. E.g., legal analysis of a proposed bill that uses secondary sources and explains logical implications rather than empirical testing.
 - 2. Other extreme is systems analysis/operations research. E.g., a simulation of offender flows that attempts to predict the effects of a determinate sentencing bill.
 - 3. Other alternatives:
 - a. Reliance on experts: Delphi and gaming
 - b. Case study program assessment
 - c. Cost analysis--input side only
 - d. Cost/effectiveness--input and output comparisons
 - e. Controlled experiments

IV. RESEARCH MANAGEMENT

- A. In design of policy research, the analyst has to take the problem and political parameters as given.
 - 1. Must concentrate on mechanics which will maximize likelihood of informing the decision.
 - 2. Two roles:
 - a. Research Manager--marshaling resources to accomplish tasks.
 - b. Policy Analyst--searching for appropriate analytical frameworks and relevant data sources.
 - 3. Manager may help with both.
 - a. Allocating resources and getting access to data sources.
- B. The Issue Paper defines the parameters of study.
 - 1. Problem of resources, analytical paradigm, data availability, and deadlines still to be addressed.
- C. Workplan translates Issue Paper into a research project.
 - 1. Begin with organizational objectives identified in Issue Paper.
 - 2. Objectives help determine scope of project as defined by:
 - a. Audience--hostile as well as supportive.
 - b. Analytical techniques which are relevant--e.g., cost/effectiveness, survey research, force field, etc.
 - c. Resource availability--can't do what you don't have skills or data for in the time given.
 - 3. Audiences, techniques and resources should serve to refine the objectives; may have to consult with manager for verification.
- D. Objectives must then be translated into tasks:
 - 1. What activities must be carried out; e.g., review of existing data, instrument design, data gathering, etc.
 - 2. Available resources must be consistent with tasks; may result in redefinition of tasks.

E. Finally, tasks and resources must be consistent with time availability.

1. A schedule of events must be laid out.

F. Project objectives, tasks, resource requirements and scheduling (i.e., a Workplan) help to manage the time constraints inherent to a policy study.

STEP 2

DEFINITE SENTENCING CASE STUDY- 1

Scenario

Your organization provides secretariat services to a group of organizations representing the interests of legislators and special selected offices in the executive branch (budget, legal, planning, etc.). Your project is one of several within the organization which undertakes special studies on questions of importance to these various state officials.

Your project director has been at a meeting with the Regional Funding Agency (RFA) regarding an issue of interest in the 9-state region. The RFA has received many inquiries regarding the impact of various definite sentencing proposals and is interested in being "responsive" to state needs. The RFA director says that the Correctional agencies of the nine states have developed varying estimates of the cost of definite sentencing legislation. While she feels that there is little prospect of any legislation this year, the general consensus in the region is that the idea will "catch on" next year. Therefore, some independent study on the impact of definite sentencing should be performed before the new legislative sessions begin 11 months hence. The Regional Office probably has \$75 - \$115,000 for such a study.

Your project director has just returned and called a staff meeting in 30 minutes to discuss how the organization might respond. Prior to the meeting, each staff member has been asked to prepare a brief approach. Project staff include: two social scientists, one attorney, an educator and a former official of a corrections agency. As part of earlier studies, your project has developed a population projection model (SMASH 1/) and an analysis of definite sentencing models--proposed and operational.

1/ SMASH utilizes the trend extrapolation technique, i.e., that past patterns of events will continue into the future. The probability that an arrest will lead to conviction, incarceration or probation is calculated from past decisions. This yields the proportion of each month's arrests which will result in imprisonment and probation. These intake projections are then combined with anticipated release rates to produce the expected size of two population pools: persons in prison, on probation and parole.

It is a short-term model capable of incorporating such elements as increases in sentencing rates, changes in sentence length, higher conviction rates and more stringent parole requirements.

SMASH = Simulation for Managing And Scuttling Hassles

DEFINITE SENTENCING CASE STUDY

THREE MODELS OF DEFINITE SENTENCING

All approaches to definite sentencing are intended to reduce discretion at some point in the criminal justice, decision-making process. Proposals and actual laws can be classified in terms of how control of discretion is exercised.

The legislative model sets penalties statutorily for specific offenses or classes of offenses. Usually, the judiciary is permitted some flexibility to increase or decrease sentence length within a narrow range for aggravating or mitigating circumstances. For example, a judge must sentence a first degree burglar to three years, unless there are circumstances that warrant a longer (five years) or shorter (two years) sentence.

The judicial model establishes a maximum penalty (and perhaps a minimum) for types of offenses, but a sentence of imprisonment by a judge must be to a definite term. A class A crime may carry a maximum of five years, but the judge may decide a definite term of three years is appropriate.

The administrative model focuses on parole decision-making by establishing regulations for the range of months that can be served in confinement and/or under parole supervision for various offenses. Within these ranges, however, confinement and supervision periods are specified by an administrative board on the basis of the seriousness of the offense. For example, a first degree robbery may carry 30 to 38 months; but, if the act included a physical assault (36 to 44 months), the board can set a definite term within this higher range.

DEFINITE SENTENCING WORKSHEET - 1

Consider the scenario and how you might respond. Use this form to briefly state what you consider to be the relevant:

- Objective(s) -- to develop, to assist, to demonstrate, etc.
- Process -- how it might be done generally
- Product(s) -- technical report, improved capability, legislative recommendations, etc.

Also state what might be the "pluses and minuses" of your proposal.

PROJECT TITLE:

OBJECTIVE(S):

PROCESS: 1.
 2.
 3.
 4.

PRODUCT:

Advantages:

Disadvantages:

Name

STEP 3

DEFINITE SENTENCING WORKSHEET - 2

Consider the earlier definite sentencing proposals developed individually by members of your group. After discussing these proposals, decide which one (or combination) the group thinks should be developed into a proposal for the Regional Funding Agency. Describe the key features of the final proposal below.

PROJECT TITLE:

OBJECTIVE(S):

PROCESS: 1.

2.

3.

4.

5.

6.

PRODUCT(S)

Advantages:

Disadvantages:

DEFINITE SENTENCING CASE STUDY

ALTERNATIVE APPROACHES

ALTERNATIVE 1: TECHNICAL ASSISTANCE

- Objective:** To assist states in assessing the impact of specific definite sentencing proposals.
- Process:**
1. Develop technical assistance (TA) capability in-house
 2. Direct TA to a limited number of states and apply population and cost projection model
- Product:** General report summarizing the experience with applications in selected states

ALTERNATIVE 2: PUBLIC DEBATE

- Objective:** To develop a statement of the issues that make it impractical to judge impact of definite sentencing on corrections.
- Process:**
1. Critique existing methods for analyzing impact
 2. Expose complexities of the effects of definite sentencing
 3. Conclude that the issue of cost and population impact should be removed from the debate
- Product:** A report for legislators, governors, corrections executives

ALTERNATIVE 3: HOW TO DO IT

- Objective:** To demonstrate the utility of simulations in estimating the impact of definite sentencing
- Process:**
1. Refine simulation model (SMASH)
 2. Use hypothetical data to show how the model operates
 3. Discuss merits and limits of using models for this purpose
- Product:** Technical report for analysts

ALTERNATIVE 4: ENLIGHTMENT

Objective: To develop population and cost projection model(s)

Process: 1. Develop model(s) in-house
 2. Provide TA to states now performing impact analyses
 3. Identify data deficiencies in each state that hamper application of the model(s)

Product: A report on X states' experiences with impact analysis and the feasibility of applying cost and population projection model(s) in these jurisdictions

ALTERNATIVE 5: DECISION MAKING

Objective: To determine the effect of definite sentencing on judicial and parole decision makers

Process: 1. Identify the possible impact (from secondary sources) of various factors on judicial and parole decisions
 2. Test these variables using an experimental design including representative judges and parole board members
 3. Simulate the results of the test with SMASH

Product: A theoretical paper that posits hypotheses about the impact of definite sentencing on decision making

ALTERNATIVE 6: DEFINITE SENTENCING MODELS

Objective: To compare the impact of 3 DS models

Process: 1. Identify the types of impact (programmatic, behavioral and economic) that reasonably fall on corrections
 2. Modify SMASH to include cost elements (monetary and non-monetary) and introduce program capacity constraints
 3. Simulate these impacts using SMASH

Product: A report developed in-house for legislative staff analyzing different approaches to definite sentencing

ALTERNATIVE 7: PUBLIC DEBATE-2

Objective: To evaluate the causal model underlying DS proposals

Process:

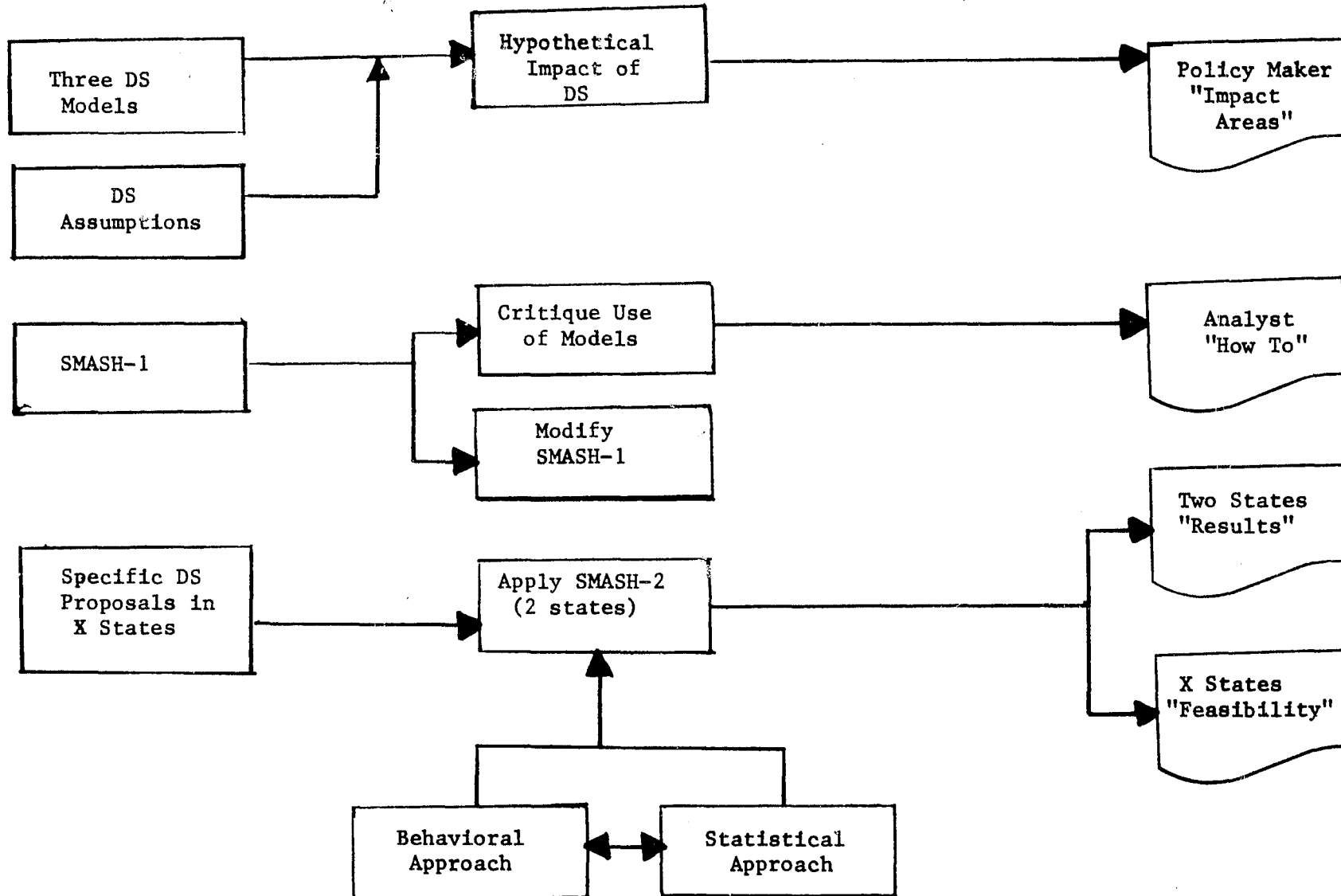
1. Review legislative hearings, official reports, and the criminological literature
2. Develop a summary of the assumptions and/or hypotheses articulated by various persons supporting or opposing DS
3. Cross reference relevant, existing research findings to these hypotheses

Product: A report to legislators, governors and corrections executives

SMASH = Simulation for Managing and Scuttling Hassles

DEFINITE SENTENCING CASE STUDY

PROPOSAL MODEL



STEP 4

ANALYTICAL PARADIGMS

I. PRE-SCIENCE

A. 500 B.C. two chains of development began:

1. World is always changing; process is the underlying reality; spirit and matter are the same (Milesians)
2. There are things that do not vary; substance and matter are the reality; inert; spirit and substance are distinct
 - (a) "Spirit" that causes things to move/change
 - (b) Separated objects from actions

B. The first died in Western thought until the early 20th century when Henri Bergson ("elan vital") and William James reintroduced process as the ultimate reality

C. The second was codified by Aristotle and became the paradigm for science

1. A system of logic derived from problems of ontology
2. Before 1600, primarily deductive (Galileo)
3. "Prime mover" posited to solve a logical problem: infinite regress. Thus, the hierarchy
4. DesCartes and Newton: mechanistic world

II. SCIENCE

A. Consequences of these developments

1. Detachment of the observer from the observed (objectivity)
2. Use of empirical methods (seen and communicated)
3. Cause-effect relations on material objects (isolation of relations)
4. Categorization/division to explain similarities and differences (abstraction)

III. SUB-PARADIGMS

A. Reasons for topic:

1. Unit of Analysis—one's view (mind set, if you will) determines what will be looked at to describe and explain phenomena in the real world

2. Methods of Analysis—how you describe or explain (the evidence used) will be constrained by the units you are examining

B. Units and methods in criminology

1. Crime is an economic phenomenon:
 - (a) Several income-generating opportunities
 - (b) Direct costs and risks associated with each opportunity
 - (c) Chooses "job" that will maximize net returns
2. Crime is a social phenomenon
 - (a) Membership in primary and secondary groups
 - (b) Group norms and expectations determine acceptable behavior (roles)
 - (c) Deviation from general social norms (crime) is functional within the context of the specific group
3. Crime is a psychological phenomenon
 - (a) Satisfaction of personal needs is the fundamental motivator of personal behavior
 - (b) Some events (e.g., rejection) hamper need fulfillment and produce tension (conflict)
 - (c) Crime is a way of relieving tension (surviving)
4. Crime is a legal phenomenon
 - (a) Laws are established to regulate individual freedom and collective control
 - (b) The process of applying equitably will reveal conformance with regulations
 - (c) Crime is an act that does not conform with regulations

C. Units and methods in corrections (prisons)

1. Tabasz (Toward An Economics of Prisons)--estimates the social costs and benefits of prisons
2. Sykes (Society of Captives)--examines the groups comprising a prison
3. Goffman (Asylums)--describes the effects on the individual of confinement in total institutions
4. Goldfarb and Singer ("Redressing Prisoners Grievances")--proposes mechanisms for guaranteeing constitutional rights in an adversary setting

IV. APPLIED PARADIGMS (Pages refer to Pirsig, Zen and the Art of Motorcycle Maintenance)

A. The dilemma (pp. 223-25):

1. Results from yes/no logic; dichotomies, categories
2. Solutions:
 - (a) "Throw sand" (redirect argument)
 - (b) "Sing to sleep" (defer to opponents superiority)
 - (c) "Refuse to participate" (this is so because I say so)

B. Value traps (affective understanding)--assumes subject/objects are not distinct

1. Value rigidity: Premature diagnosis and can't interpret "facts" (E.g., harsher sentences caused population increases)
2. Ego trap: Unwilling to admit "goofs" (E.g., wrong advice to manager)
3. Anxiety: Fear of failure and inaction results in "fussiness" (E.g., lack of information then no searching; too much quantifiable data on insignificant)
4. Boredom: Pre-set ideas so every problem looks the same (E.g., annual statistical report gives no "new" information)
5. Impatience: Miscalculate time to do (E.g., data collection harder than anticipated--change goals)

C. Truth traps (cognitive understanding)

1. Ignoring inconclusive results so questions are not reformulated
 - (a) Yes/no/neither
 - (b) Liar's paradox--(E.g., policy analysis does not give decisions, only lays out alternatives. The decision criteria ultimately used relate to non-quantifiable (and probably personal) values. Non-zero sum games in political context

V. SUMMARY AND CONCLUSIONS

A. Values predetermine the facts we select to describe reality (units of analysis)

1. E.g., interest groups' perceptions of an issue
2. P. 280: insignificance of a screw; but when stuck, its value is the price of the motorcycle
 - (a) What it is--reason, categories
 - (b) What it does--intuitive, functional

B. Values predetermine how we go about describing reality (methods of analysis)

READING NOTES
FOR
ZEN AND THE ART OF MOTORCYCLE MAINTENANCE

Pirsig's Zen and the Art of Motorcycle Maintenance is about many things. It's an autobiography and a travelogue; but, the book, also, is an examination of what underlies scientific method. These themes are interwoven: The trip is an opportunity for the author to relate his life experiences that have centered on questions surrounding the scientific approach to problem-solving. Because of this format, selected pages are suggested below that should highlight the key points Pirsig makes.

<u>Pages</u>	<u>Subject</u>
7-8 and 15-18	Background for the discussion throughout the book
30-34 and 53-54	Effects of a scientific point of view
63-77	Divergent approaches to problem-solving
80-85	Information about the author
90-95	Systems Analysis applied to motorcycle maintenance
105-111	Scientific method
124-130	Some problems with certain features of science
140-147	Information about the author
177-178 and 182-196	What is Quality?
206-209	The basis for a rational approach to problem-solving
216-218	Technology and human values
223-234	What is Quality?
238-248	Scientific method, reality and motorcycle maintenance
251-263	Measurement and objectivity
269	Summary of book to this point

<u>Pages</u>	<u>Subject</u>
272-290	Getting "stuck" on a problem
(283)	Technology
(288)	Getting "unstuck"
296-319	"Gumption"

CONTINUED

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