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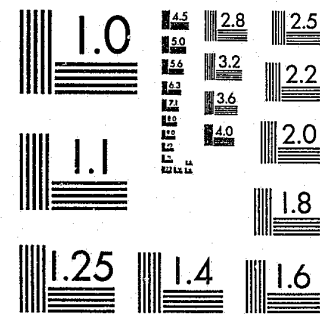
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CENTER FOR THE
INTERDISCIPLINARY STUDY
OF SCIENCE AND TECHNOLOGY

Northwestern University
Evanston, Illinois

EVALUATING AN IMPLEMENTATION PROCESS FOR A
PROGRAM DEVELOPMENT SYSTEM MODEL

LAW EN

DURWARD HOFLER

60690

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National Institute of Justice
United States Department of Justice
Washington, D.C. 20531

ABSTRACT

The mission of the Law Enforcement Assistance Administration (LEAA)
focuses on issues and problems of the criminal justice system,
primarily at the State and local level. The Agency operates in a
difficult context.

To provide a management process for interacting R&D and innovation
with program development, the Agency adopted (in 1977) an Action
Program Development Process (APDP). The Center for the Interdis-
ciplinary Study of Science and Technology (CISST) at Northwestern
University was awarded a grant to evaluate the impact, process of
implementation, and design of APDP. It is our evaluation that
APDP is a timely and appropriate management process, that it has
had reasonable impact to date, and that next steps are now appro-
priate and needed. The report suggests and discusses specific designs
for specific designs for further elaboration of APDP into separate
and distinct but interrelated processes for Policy Planning and
Program Development. A plan is outlined which suggests phases and
stages, key management decisions, and responsibilities and tasks for
management and staff for implementation of the recommendations.

Part Ten suggests further considerations and study, including:
possible changes in LEAA's mission and structure; further issues
of integration and coordination; and LEAA's relationship with
State and local agencies.

PART ONE

THE EXECUTIVE SUMMARY
AND
REPORT OVERVIEW

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I.   INTRODUCTION

LEAA has a complex and difficult mission to perform. Through its
many offices, the Agency must attempt to impact the many and
varied aspects of crime, using a wide variety of innovation,
assistance, delivery and other activities and involving a broad
range of knowledge and technology areas. These activities re-
quire LEAA to work with many types of State and local agencies
and with other organizations involved in the law enforcement and
criminal justice system. Further, because crime is an area of
substantial and direct public concern, the Agency must work in a
highly value-laden and politically exposed context.

These missions have had to be carried out by a relatively young
Agency, one that has had to work in a field with a relatively
immature R&D and innovation system, with an underdeveloped
knowledge base and with relatively limited (and unreliable)
resources at its command. The Agency has been buffetted by
numerous changes of leadership and subjected to substantial
and not always fair external criticism. Organizationally, LEAA
is structured more like a federation of semi-autonomous entities
than the cohesive institution that might be seen as being needed
to deal with the challenges facing the Agency. At this very
time, there is considerable uncertainty about the future role,
missions and structure of the Agency.

Facing such difficult conditions, certain needs become paramount for
LEAA. Priorities need to be established that can focus Agency efforts
where the needs and possible short and long term impacts are greatest.
Ways have to be found to coordinate and integrate the activities
of the various parts of the Agency, when and where appropriate.
There is a need to develop policies and perspectives that can unify

the organization and can provide the Agency with proactive and
defensible positions with respect to its various publics,
constituencies, critics, etc.

It has been our assessment that LEAA has indeed recognized and
attempted to come to grips with the challenges described above
(and many others, as noted later in this report). Despite
difficulties and external criticisms, the Agency has demonstrated
what could be evaluated as a reasonable and encouraging "learning
curve", leading to the development in 1976 of the Action Program
Development Process (APDP).

The principal design features of APDP involve the linking of research,
testing and evaluation findings with innovative action programs. The
basic steps of APDP are:

1)   Policy Planning
2)   Problem Definition
3)   Selection of Response Strategy
4)   Program Design
5)   Testing
6)   Demonstration
7)   Marketing

These steps are intended to ensure that programs would be adequately
tested and evaluated prior to being disseminated to State and local
agencies.

1.   The Nature of This Study

We see APDP as an in important and timely initiative by the Agency to
provide itself with a systematic program development and management
process that would assist LEAA to better select, direct, and coordinate
its programs, in the complex and difficult organizational and environ-

mental context in which it operates. It was our awareness of this initiative, which closely mirrored the perspective we had been developing in our work with several other agencies, that lead us to propose a study in the summer of 1977 that would:

1) Evaluate the APDP design

2) Evaluate the process for implementation of APDP in LEAA

3) Evaluate the impact of APDP implementation

Additionally, later consideration would be given to the potential for transfer of APDP to State and local agencies. The rationale of LEAA for accepting this proposed study was the recognition that implementation of APDP would be difficult at best, involving not only the introduction of a new and complex management procedure, but also an essential re-education of management and staff, shifts in organizational relations, and some threats to established power positions. Therefore, it would be important to have independent monitoring and evaluation of the implementation, and to have assistance in carrying out this implementation task. It was also recognized that APDP might require some modifications.

During the course of our work with LEAA staff on this project, a shift in focus developed in response to the emerging clarification of problems and needs resulting from our interviews and discussions. Essentially this involved agreement between ourselves and LEAA to give greater attention to the evaluation and possible further elaboration of the APDP design -- with specific concern for the relation of policy planning (i.e., determining which programs to develop) to program development (i.e., how to develop a program). Consideration would also be given to the relationship of APDP

to other LEAA planning processes such as MBO. Finally, we would specify the implementation requirements and processes for policy planning and program development models.

There are some further concerns and questions which were beyond the scope of this project to examine but which we found to be important to our analysis and recommendations.

First, it was a premise of this study that LEAA was committed to the implementation of APDP. Therefore, we were not being asked to say whether implementation should continue, but rather how it might be facilitated. We originally viewed APDP as an essentially valid and appropriate response to LEAA's needs -- and we have not been led to change this view. Thus, we have focused on elaboration of the APDP design rather than considering alternatives to APDP. However, we also came to recognize that the usefulness of APDP (or any elaboration of APDP) would be dependent upon decisions made (both internal and external to LEAA) with respect to such matters as LEAA's structure, mission, and internal management processes and interaction patterns.

Second, it was not within the purview of this study to provide a comprehensive organizational study of LEAA with respect to such matters as: distribution of power and domain across Offices, across units within Offices, across specific positions; detailed analyses of current LEAA structures, communication processes, decision making processes, etc.; detailed analysis of the nature and implications of current discussions concerning possible reorganization of LEAA; LEAA's interaction with State and local agencies; policy planning within each of LEAA's separate Offices; management processes for implementing policy decisions related to LEAA's general activities other than program development; a comprehensive contextual analysis of the criminal justice context. These we believe to be important in relation to our recommendations, but would require further study.

Third, the detailed recommendations of this report provide a framework for policy planning and program development. There of course remains the need to further develop these processes to an operational level of detail and specificity with respect to such matters as: development of some form of decision choice model; mechanisms for identifying and arraying issues; allocation/assignment of responsibilities for the tasks of program development; further elaboration of criteria of what is/is not a "program"; further study and choice of specific coordinative mechanisms. These we see as essentially being normal administrative matters, though further study may be desired.

To the extent necessary for this study, we have examined each of these issues, suggested guidelines or alternatives, provided illustrative scenarios, and/or (in Part Ten) suggested further study by LEAA.

2.   Conclusions and Recommendations

Our study of APDP and its implementation has led us to several general conclusions:

* APDP as a process is essentially sound and appropriate to the needs of LEAA. There is a need for further elaboration of the concept and design of APDP, but in our view, it is neither necessary nor useful to consider alternatives to APDP per se.

* The above statements presume an interdependent, multi-functional LEAA mission and an organization which is reasonably tightly linked by structure and/or by top management interaction process. Under different conditions of LEAA mission and intraorganizational

linkage, different types of integrative and coordinative mechanisms might be more appropriate. *

* It is our view that the impacts of APDP to date are generally what one could reasonably expect at this point in the life and use of APDP.

* It is our general assessment that the current design and implementation of APDP should be viewed as a first phase in the design and implementation of needed processes for program development and policy planning. We therefore see our recommendations as a second phase which builds upon LEAA's proper and, for the most part, well conceived APDP initiative.

In light of these general conclusions, we will in this report make the following recommendations for a second phase design and implementation process.

1)   That the first three steps of APDP (Policy Planning, Problem Definition, and Selection of Response Strategy) be separated out and elaborated into a distinct and separate process for Agency-wide policy planning.

This recommendation provides for Agency-wide determination of priorities and goals; for balance across and guidance for LEAA's priorities; for integration and coordination across the Offices and activities of LEAA; and for the focusing of activities around designated Agency priorities.

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* Possible reorganization of LEAA could lead to a loosely linked structure in which APDP would not, in our opinion, be appropriate. While we were not commissioned in this project to examine the issue of LEAA reorganization, we will have some brief comments on this question in Part Ten.

2) That Steps Four through Seven of APDP (Program Design, Testing, Demonstration, and Marketing) be separated from the first three steps of APDP and somewhat elaborated into a distinct program development process.

This recommendation would specifically include: (a) splitting the testing step of APDP into two distinct steps of Prototype Testing and Field Testing; and (b) establishing two other distinct steps of Program Packing and Utilization Assistance.

3) That the separated policy planning process be designed to insure adequate and appropriate linkages with the separated program development process -- and with the processes utilized by LEAA to manage its other general activities.

4) That to accomplish the above, LEAA develop and initiate a Phase Two implementation based upon a systematic and comprehensive implementation plan.

5) That as an initial part of the Phase Two implementation, LEAA top management make certain key decisions relating to: LEAA's structure, mission and management leadership patterns; management commitment; and LEAA's relationship with State and local agencies.

3. Underlying Themes

There were several underlying concepts and themes that guided our analysis, and our design and implementation recommendations.

A. Priorities and Alternatives

Throughout this report, we emphasize the centrality of a priority focus and of considering alternatives.

The centrality of priority setting.

The priorities which the Agency sets for itself (by whatever means) set the pattern for what the Agency does and for the allocation of its resources. They provide a basis for evaluating the activities of the Agency through the goals which are set in relation to selected priority issues. They provide a basis for the consideration of various strategies which determine the pattern of programs to be pursued in the program development process.

We view the ability and willingness of management to address properly the priority setting decisions as a critical executive function -- it is the interface between: (a) the largely externally determined Agency purposes, missions and problem areas; and (b) the internal selection, design and implementation of programs and other strategies.

The importance of considering alternatives

The consideration of alternatives provides a basis for decision making. This implies that the generation and comparative consideration of alternatives must become an explicit and highlighted step in the Agency's policy process -- as for example: considering a wide range of issues, problems and opportunities and considering various

strategies which might be employed in response to these
issues, problems and opportunities; considering possible
synergy or conflict across priorities, goals and/or
strategies. Thus, we emphasize the need for building an
attitude that demands a search for and choice between
alternatives, with respect to any aspect of policy planning
and program development.

B.   Linkage Concerns

Concerns for linkage and integration are central to the philosophy
both of APDP and of our recommendations.

The linkage between policy planning and program development

This linkage is vital in order to ensure that the vast
majority of programs being pursued in LEAA are pointed
towards the achievement of designated Agency objectives;
to provide such programs with appropriate evaluation goals;
to ensure the best possible allocation of resources and in
turn, to ensure that policy processes are informed by the
knowledge generated during program implementation and
evaluation.

Cross-Office Linkages

Cross-Office coordination is by definition important
where the requirements of implementation involve more
than one Office. This is especially true where programs
are to be R&D and innovation oriented. Significant
linkage concerns here include insuring that research and
action can inform each other; ensuring that cross-Office
coordination occurs at both the policy and program levels.

C.   R&D and Innovation Concerns

In an R&D and innovation oriented organization, there is a
need to provide a climate for creativity in which R&D and
innovation can develop in its own direction -- while ensuring
that the results of research and innovative activities are
brought into the organization's basic policy and management
processes. In this way, research becomes an important input
to policy planning and program development.

D.   Sequencing and Flexibility

There is a logic in both policy planning and program develop-
ment that certain decisions and activities need to precede
other decisions and activities in a sequential manner. At
the same time, both policy planning and program development
require a strong degree of flexibility through iteration
and recycling, ability of various sources of ideas to make
inputs, etc.

E.   Implementation Concerns

The need for a comprehensive implementation plan

Implementation of APDP (both in its present and elaborated
forms) will only succeed if staff understanding and commit-
ment is established; if successive changes and phases are
introduced in a gradual, clear and sustained manner; if
transitions from current to planned practices are dealt
with; and if implementation is done in a consistent manner
over time and across relevant parts of the organization.
To achieve this, a detailed plan will be needed that
lays out the specific phases and stages; the tasks and

involvements of personnel at all levels; methods; types
and sources of information; and forms of monitoring,
evaluation and feedback.

The need for congruity between APDP and LEAA's basic organizational characteristics

This issue relates to the fundamental question that we
have already mentioned, i.e., of whether or not to imple-
ment APDP at all, in its current or in any modified form.
We later present the premise that there must be an essen-
tial congruity between LEAA's mission (the kinds of acti-
vities in which it is engaged -- research, assistance, etc.),
its organizational structure (in terms of how integrated
this is to be: a loose federation or a well integrated
institution), its management operating style and process,
and the kind of policy planning and program development
process it uses. The decision to implement APDP presupposes
certain conditions: that LEAA is to be at least a somewhat
integrated Agency involved in the variety of activities to
be found in its various Offices, and managed by a process
and style that allows for needed and appropriate coordina-
tion of planning and development. (In Part Ten, we will
comment on the impact that a reorganization of LEAA might
have on the Agency's policy planning and program development
processes.)

The need for key management decisions

It will be vital for management to make a number of critical
decisions before proceeding further with the implementation
of APDP (in its present or elaborated forms). The decisions
concern the issues of congruity noted above; issues con-
cerning the level and form of support, involvement and

commitment management will give to APDP: and the nature
of the external relations LEAA is to have with State and
local agencies of law enforcement and criminal justice.

F. Our Perspective

Two aspects of the perspective from which we have approached
this study may be mentioned here.

A bias in favor of systematic policy planning

We admit to a strong bias in favor of systematic policy
planning. It has been our experience in a variety of
public and private organizations that its lack weakens an
organization in a number of important ways, internally
and externally.

An Agency-wide perspective

Our focus of concern throughout this study was on the need
for an the establishment of policies, priorities, goals
and strategies that were applicable to LEAA on an Agency-
wide basis; and then on the requirements for program
development that would take place across the Offices of the
Agency. We have not addressed ourselves to the needs of
individual Offices of LEAA apart from their role as compo-
nents of the Agency, even though it is recognized that
many of the recommendations that we are proposing for
Agency-wide policy planning may also be useful for policy
planning within individual Offices

4. An Expanded Executive Overview

The rest of this first part of our report consists of an expanded executive overview in which we will provide a summary of the full report. It contains:

1) A summary of our main findings:

   a) the impact of APDP at LEAA, to date
   b) the implementation of APDP
   c) the design of APDP
   d) LEAA's policy making priority setting, and planning processes as these relate to program selection and development.

2) A summary of our main recommendations:

   a) their rationale
   b) on program development
   c) on policy planning
   d) on coordination and integration (across the policy/program levels of decision making, with respect to such ongoing management processes, as MBO and budgets, and as an Agency-wide issue).
   e) regarding implementation of our recommendations (rationale, requirements and specific plans and time table).

3) A discussion of possible next steps.

4) A description of our data sources.

5) An overview of the structure of this report.

For the convenience of the reader we have added to the margin the page number on which can be found the main discussion and presentation of the findings and recommendations summarized in this part of the report.

II. SUMMARY OF FINDINGS

97ff   ## 1. The Impact of APDP

APDP is still relatively new to LEAA. It is new and innovative as an approach to program selection and development in government in general. It is also complex, and it contains the potential for substantial organizational change (as we have noted). It is being implemented into an agency facing substantial contextual difficulties.

Our evaluation criteria took these conditions into account. We could only expect to see short term and limited consequences at the time of our study in 1978. We could and did look for the longer term implications of these more immediate impacts of APDP on the Agency -- in terms of whether a base for continued progress and building was being laid down. As regards the more immediate impact effects, we took into account the inevitable problems of transition to be expected in introducing a complex management innovation and the difficulties to be expected in attempting to retrofit existing programs into APDP.

These cautions can help maintain a proper perspective of reasonable expectations -- given the typically unrealistic, high, and too fast hopes that often lead to disappointment and premature abandonment of essentially sound innovations.

98   Thus, in our view, appropriate expectations at this point would be to find evidence that adequate transition and learning is taking place, that there has been an increase in staff awareness of and ability to respond to significant APDP issues and problems, that a positive staff attitude is developing towards the process and a positive view of management's support for it, and that incremental changes in practices, organization and thinking are consistent with the philosophy of APDP.

With the above criteria in mind, it is our evaluation that:

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1. To date there have been <u>reasonable and appropriate impacts</u> from APDP. We believe these have amounted to a needed first step in the development of an integrated Agency-wide program development and policy planning process. Intensive next steps designed to continue and reinforce the developed momentum are now possible (and needed -- if much of what has been gained is not to be dissipated).

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2. The <u>APDP philosophy and approach</u> to program development shows signs of <u>taking root</u> in LEAA, i.e., becoming "normalized" in the thinking of Agency staff.

100

3. With respect to impact on LEAA <u>programs</u>, it does appear that APDP has had some <u>reasonable impact on internal Agency program activities</u> (e.g.: by increasing the utilization of research, testing and evaluation on action programs). This impact has rather naturally been stronger on new rather than on the already existing programs.

102

4. With respect to impact on LEAA operating <u>processes</u>, there seems to be:

   * some encouraging <u>increase in interaction among Offices</u> <u>and staff</u>, but still some way to go

   * <u>a minor increase in the consideration of alternative</u> <u>approaches</u> in seeking solutions to problems

   * <u>support for the basic APDP concepts</u>, but also <u>varying</u> <u>degrees of confusion</u> over the roles of various Offices, how APDP relates to MBO, coordination issues, how programs are selected, and other concerns

In summary, with respect to APDP's impact there have been encouraging signs that bode well for future steps, but, clearly, there is room for growth. We now turn to the evaluation of two of the aspects of APDP that could provide this growth potential: its implementation and its design.

105ff

2. The Implementation of APDP

In awarding us the grant to undertake this study, LEAA had recognized that it would not be easy to implement a process as complex as APDP into the LEAA context. We did, and do, concur in this.

Given such expected difficulties, it was our view that any <u>implementation</u> <u>plan</u> should be carefully conceived and systematically and consistently applied. Further, its various aspects, roles, responsibilities, steps and stages would require careful specification. Especially important would be the role and behavior of top Agency management in supporting the process and its implementation in ways that would lead the staff to believe in it and, in fact, to need it. Finally, care would need to be taken to integrate APDP (as appropriate) with other existing organizational processes (such as MBO, budgetting, etc.).

It was clear that LEAA had indeed attempted to utilize a variety of activities and mechanisms to facilitate the implementation of APDP with respect to the above and related points of concern. At the same time, it was our overall observation that <u>LEAA had not developed the</u> <u>kind of comprehensive, phased implementation plan that we see as being</u> needed. Some specific concerns involved:

108

1) <u>General Implementation Strategies</u>

   * It is our evaluation that <u>implementation was overly</u> <u>dependent on</u> the two interrelated mechanisms of: a) issuance of <u>APDP instructions</u>; <u>and</u> b) the <u>training</u> <u>programs</u> built around these instructions.

   * It is our further evaluation that <u>too many purposes</u> <u>were being sought in relatively short training sessions</u>

(2½ days to absorb a great deal of new and complex concepts; and also to "sell" APDP, to obtain staff recommendations for revisions, to deal with both policy and program aspects of APDP, etc.). While these are all necessary objectives, we question the feasibility of achieving these desirable outcomes in a 2½ day session.

* We view as generally valid and useful such <u>other mechanisms</u> and other changes as the creation/use of various coordinating functions (some of which were suggested in the APDP instructions), using APDP terms and concepts in developing DF guidelines, decision memos, efforts to classify LEAA program activities into APDP categories, and several other such actions. Their <u>effectiveness</u> was <u>limited</u>, however, <u>by a lack of consistency across time, programs, and Offices</u>. By contrast, their impact could have been much greater as part of a comprehensive and systematic implementation plan.

109   2)   <u>Top Management Role</u>

It is our view that the role of top management is a critical aspect of the implementation of major organizational processes such as APDP. In this regard, we may note the following:

109   * <u>By and large</u> LEAA staff reported a <u>strong commitment</u> by management to APDP, and this is encouraging. However, the fact that there was still over <u>one third of the staff</u> who felt, after two years of APDP, that <u>their managers were less than fully committed</u> could be seen as some cause for concern.

110   * We viewed the <u>creation of the need</u> for staff to understand and use APDP as a primary responsibility of management, if they wished APDP to become a meaningful part of the Agency's standard process and consciousness. This

comes about when management insists on the use of APDP thinking and procedures as a basis for decision making -- as this applies both to staff <u>and</u> to themselves; and when management ties APDP to the Agency's reward system, to MBO, to budget allocations, etc.

* Some LEAA managers had indeed moved in this direction. It was our observation that these <u>efforts needed to be much more systematically and comprehensively applied</u>. A number of LEAA staff commented that their use or non-use of APDP had <u>not</u> been related to their job or professional rewards (or penalties).

Parts
Nine
& Ten   This discussion of top management's role brings up a fundamental issue of whether or not APDP should continue to be implemented. While our mission did not call for an evaluation of this issue, it became very clear that the issue could not be avoided. Neither the success of APDP <u>implementation</u> nor the <u>form</u> of APDP could be divorced from the outcome of internal and external deliberations about the Agency's future missions and structure. Nor could the implementation or form of APDP be divorced from decisions to be made by LEAA's management as to how these mandates were to be interpreted; how LEAA's management would operate as a management group (if they were to be that); the nature of their commitment to APDP; and their role in its implementation. We take the position that, in and of itself, APDP as a procedure is not powerful enough to ensure the consensus and integration it is designed to facilitate.

313ff   Therefore, it became necessary for us to specify what we saw as a series of key and interrelated management decisions that must be made as a pre-condition for continuation of the implementation process.

There is no implication here that LEAA has ignored these issues in the past, or that its present structure or management process and style is necessarily wrong. We do imply that in the light of what are clearly

potentially changing conditions, and before embarking on further and more extensive implementation steps, it will be vital for LEAA's top management to make an assessment of what LEAA is (or is likely to become) -- and then in the light of this assessment to determine how they are to function, and therefore, how and whether APDP is to receive their support.

3. The APDP Design

115ff   This section is an evaluation of the APDP procedure and of its various process steps. First however, there is an important question of scope of application to be addressed.

116   A frequent staff concern was with the question of knowing to what LEAA activities APDP applied. Did it apply only to certain selected programs or to all programs? Did it apply to basic research or to legislation? Was it to be applied only to new programs or also to be applied retroactively? Some staff were of the opinion that APDP did not apply to their activities.

The above could, of course, have been caused by some training and transition implementation problems. However, it was our assessment that the problems also arose as a consequence of both an insufficiently clear definition of scope (which we have now attempted to provide) and some lack of clarity with respect to individual APDP steps, as will be described below.

With respect to the APDP design itself, LEAA staff were having difficulty with such problems as knowing whether to classify what they were doing as a "test" or as a "demonstration"; the proliferation of the concepts of "level one and level two demonstrations"; and the absence of a program packaging step.

117   The first three steps of APDP (Policy Planning, Problem Definition
139   and Selection of Response Strategy) were a major area of staff concern and confusion. These first three APDP steps seem to involve Agency-wide issues that: (a) transcend the development of a single program; (b) involve decisions that must be made by top management rather than program staff -- including decisions about what problems the Agency will address and decisions about whether to develop a program; and (c) could lead to decisions to select strategies other than program development. These matters are clearly out of place as part of a program development process. We have therefore separated out the first three APDP steps for review (in the next section) with respect to Agency policy making, priority setting, and strategy selection processes.

118-122 With respect to Steps Four through Seven of APDP we note the following:
Part Five

120   #### Step Four -- Program Design
261

This step is essentially well stated. Our only comment here is that there is a need to have a comprehensive plan for program development prepared and approved by management before program design is begun. We have recommended the use of an Action Plan approval step as part of the policy process to deal with this.

120 126   #### Step Five -- Testing
268-75

To clarify some of the confusion staff had about the Testing step of APDP, we believe it is important to distinguish between (1) a prototype kind of testing which seeks to identify needed refinements or modifications, and which thus uses a formative kind of evaluation; and (2) testing which seeks to validate

a program design under _field_ conditions, and which thus uses a
summative kind of evaluation. We are thus suggesting _two_ testing
steps in order to highlight this distinction. We do recognize
that there may be reasons to skip either or both testing steps
(e.g.: prototype testing has already been done as part of earlier
research; costs or time requirements; etc.). We also note
that the concept of prototype testing should not imply an "indus-
trial" model of prototype testing -- and perhaps a different
term would be more suitable.

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279

Step Six -- Demonstration

The need to clarify this step has already been recognized by LEAA by
creating a distinction between level "one" and level "two"
demonstrations. It is our view that the above mentioned change
with respect to testing plus some further explication of this
step (as we will provide in Part Seven of this report) will provide
sufficient clarification of this step.

122
282

Step Seven -- Marketing

We assess this step to be essentially sound as it is, requiring
only some further explication of alternatives to be considered
and concerns to be taken into account.

122-3
276-284 In our recommendations section we will add two additional steps which we
see as being needed, _Program Packaging_ and _Utilization Assistance_.

Parts
Four,
Five,
Six

4. Policy Processes

We have taken the position that the decision to develop and give
priority to a program is a _policy_ decision to be made by Agency
management. Hence the process leading up to that decision must be
distinct from, but integrated with the program development process.

72-84

It is also our view that precisely when an Agency has gone (and is
continuing to go) through mission, structure, and leadership changes;
is subject to external pressures and criticisms; and is in a
condition of resource contraction -- that under these conditions it
is vital to have adequate and appropriate policy planning and
priority setting processes that can maintain Agency continuity,
integrity, and coherence with respect to both internal organizational
and external constituency needs.

At a general level, it was clear that LEAA had shown an awareness of
the important policy and program issues raised above through the
introduction of such organization-wide management processes as MBO
and APDP. It was our assessment however, that this was an area
requiring some considerable development.

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A. Comprehensive and Systematic LEAA Policy Planning

There do exist certain elements of a policy making process within
LEAA; for example: an annual review process (that combines
program review, development of work plans and MBO); formalized
Agency reviews of major announcements, guidelines, etc.; decision
memos). However, these various mechanisms seem to be overly
dependant on informal one-to-one deliberations between Office
heads and the Administrator's office. It is also evident
that certain policy planning processes exist _within_ the various
Offices of the Agency.

Further, it was our observation that the program-relevant policy processes which are used by top management appear to be <u>focused on solutions rather than on problems and priority issues</u>; and to <u>treat each solution separately instead of in relation to other "solution priorities"</u>.

What was not sufficiently evident was a unified, consistent, comprehensive and systematic process (for formulating policies, plans and priorities on an Agency-wide basis) which could:
facilitate cross-Office integration between research and action and determination of cross-Office roles and responsibilities; help provide a priority issue rather than solution focus; provide a basis for developing balanced and prioritized program portfolios; and for the development of integrated multi-year planning.

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These last aspects are especially important for an agency having an important R&D based multi-program mission in which: programs may be competing for resources over several years; the programs may need to progress through many stages (research, dissemination, etc.); program successes and failures may have significant ramifications for other current and proposed programs; the political, legal, social, technological and funding climates and conditions may change significantly over the lives of programs. These issues are elaborated in Part Four of the report, and our recommendations (as described below and in detail in Part Six) are designed to improve LEAA's capability in providing for these needs.

B. Staff Understanding of LEAA Policy Planning

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We have already indicated that there is considerable uncertainty on the part of LEAA staff as to how policies are made in the Agency and relatedly, as to what drives APDP. To a singificant degree they do not know how they can influence policy/priority formulation.

The question can be (and has been) raised concerning staff's "need to know". We recognize that there are times when it is appropriate for top management not to communicate either the reasons for or the nature of policy decisions -- though we suspect that in relation to program decisions, this would be the exception rather than the rule. Nonetheless, our basic argument here is that staff at LEAA are professionals and that the motivation and commitment of such professional staff are strongly influenced when they know the "how, why and where-to-from-here" of the program. Further, professional staff can (and should) provide <u>an</u> important source both of program ideas and of information relevant for program decisions -- if they know how to "influence" the program decision process. This is compatible with LEAA's current use of decision memos by staff.

We are also of the opinion that this staff confusion has had an inhibiting effect on APDP implementation, and would continue to inhibit staff effectiveness in program development.

Our recommendations respond to these problems by providing: (1) a separate and elaborated policy planning process; and (2) training sessions for the policy planning and program development processes.

C. Some Other Considerations

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a. Administrative Leadership Changes

There is a valid need for a process that facilitates a new Administrator's ability to influence the policies, priorities and programs at LEAA. At the same time, it is <u>equally</u> important that there be mechanisms for ensuring continuity and stability of LEAA policies, priorities and programs across changes in Administration. A balanced and integrated set of policies,

priorities and programs would provide a <u>valid</u> basis upon
which a new Administrator could make decisions which take
into consideration <u>both</u> the Agency's needs for continuity
in relationship to his own emphases and priorities.

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b. External Communication and Justification

Communication and justification of its policies, priorities
and programs are valid and important needs for LEAA. Such
communication should be able to demonstrate <u>priorities</u> which
are <u>balanced</u> in the broad scope of LEAA's mandated purpose
and mission; a <u>thoroughly developed and sound rationale</u> for
the selection of each of LEAA's specified priorities; and
specified <u>impact goals which are measurable</u> and which clearly
relate to a specific priority issue.

Constructive interaction with LEAA's external publics is a
difficult task at best. This task is made even more difficult
in the absence of a systematic, integrated organization-wide
policy planning process.

We are not suggesting that LEAA should ever become insu-
lated from such interaction. Rather, the Agency should have
a policy planning process which would enable LEAA to be pro-
active and constructive in interactions with its external
publics; and which would provide a significant degree of
protection for the Agency from inappropriate pressure and
unreasonable buffeting.

How managers choose to use policy, priority and program
information is itself a policy matter. What managers should
have available to them is a clearly articulated policy and
priority position to use as and when needed.

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c. Interaction with State and Local Agencies

Interaction between LEAA and State and local agencies can
serve important purposes. These include at least: con-
stituency building and system building; providing inputs
to policy planning with regard to issue priority and strategy
selection decisions, especially with regard to decisions to
develop a program; providing inputs concerning possible
needs for research; maintaining the critical Agency/user
linkages during the marketing, demonstration and utiliza-
tion assistance steps of program development.

How much LEAA/State and local interaction there should be
and through what mechanisms is, of course, a matter of LEAA
decision, and it would take us beyond the scope of the project
to make any detailed recommendations about this interface.
We further recognize that LEAA does have various mechanisms
for interacting with State and local organizations; e.g.:
advisory councils; yearly meetings; mid-winter conferences;
developing Discretionary Funding; etc.

Our initial proposal to LEAA recommended that such a study
be done <u>after</u> the completion of this project. Because of
the importance of this interface, we here reaffirm this
earlier recommendation.

We point out here that the policy planning and program develop-
ment processes discussed in Parts Five through Seven will indicate
specific steps where such interaction would be relevant.
And, as part of our recommendations we indicate this to be
one of the areas requiring a critical management decision.

III. SUMMARY OF RECOMMENDATIONS

We will present our primary recommendations in terms of two linked models:

1) A recommended model for LEAA policy planning (expanding upon the first three steps of APDP as these relate to policy planning concepts).

2) A recommended model for LEAA program development (an elaboration of the last four steps of APDP but incorporating those aspects of Steps Two and Three of APDP as these relate to program management).

3) Some potential guidelines to deal with the issues of integration and coordination within and between the policy and program levels of decision making, and also as an Agency-wide issue.

These substantive recommendations will be followed by:

4) A proposed implementation plan that is intended to provide LEAA with a systematic and comprehensive process that would specify:

a) the steps, stages, and time lines of implementation;

b) the purposes, objectives and activities for each step and stage;

c) specific roles and responsibilities for top management planning and training staff, and other LEAA staff personnel;

d) critical management decisions to be made;

e) criteria and methods for evaluation of the implementation.

Part
Five

1. The Policy Planning and Program Development Models

Figure 1 shows the steps of the two proposed models and their relationship to APDP in its current form. The policy planning model is designed to assist top management to proceed in an explicit manner:

1) from a recognition of the Agency's purpose and mission;

2) to identification of topics (i.e., issues, problems or opportunities) to which the Agency could consider responding;

3) to selection of priority issues and the setting of goals in relation to the selected priority issues;

4) to the selection of a specific strategy (or set of strategies) for development into an action plan which, when approved by top management, would be implemented;

5) to an evaluation of the impact of the selected strategy.

The logic of the program development model is consistent with the logic of APDP. The only differences are to be found in the elaboration of the steps:

1) Testing is split into two steps: Prototype Testing and Field Testing.

2) Program Package and Utilization Assistance steps have been separated out to give these critical activities more visibility and focused concern.

3) We have also suggested some clarification of the existing APDP steps and highlighted some of the critical considerations that should be taken into account at each step.

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*Since the figures used in this summary are extracted from later parts of the full report, we have retained their numbering in this overview section.

CURRENT APDP | RECOMMENDED MODELS

Policy Steps

Step One -- Policy Planning

Step Two -- Problem Definition

Step Three -- Selection of Response Strategy

Steps of the Recommended Policy Planning Process

Foundation Stage

I -- Purpose
II -- Mission
III -- Topics

Action Decision Stage

IV -- Priority ⟷ V -- Goals Issues
VI -- Strategies
VII -- Action Plan

Follow-Through Stage

VIII -- Implementation*
IX -- Evaluation

Program Development Steps

Step Four -- Program Design

Step Five -- Testing

Step Six -- Demonstration

Step Seven -- Marketing

Steps of the Recommended Program Development Process

I -- Program Design
II -- Prototype Testing
III -- Field Testing
IV -- Program Packaging
V -- Demonstration
VI -- Marketing
VII -- Utilization Assistance

*Transition point into Program Development

Figure 1

Steps of APDP and the Recommended
Policy Planning and Program Development Models

Part Six

2. The Recommended Policy Planning Model

The recommended policy planning model is illustrated in Figures 1, 2 and 4.

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In our view, the determination of priority issues -- i.e., those issues to which the Agency will respond -- is central to the policy planning process. Decisions about priority issues set the tone and pattern for what the Agency does by translating the Agency's purpose and mission into specific responses to which the Agency commits itself. Decisions about priority issues provide the necessary focus for selection of strategies and the development, implementation and evaluation of action plans. In a very important sense, then, the whole policy planning process can be seen as a process whereby the Agency selects proper priorities to address -- and then operationalizes these into actionable and measurable goals and plans.

As is illustrated in Figures 1, 2 and 4, the policy planning process may be seen as a three stage process.

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1) The Foundation Stage includes the first three steps of policy planning (Purpose, Mission and Topics), and serves the purpose of providing the basic guidelines and framework for the work of the Agency.

To an important degree, the purpose and mission of the Agency are externally determined by its authorizing legislation, but there are significant matters of interpretation, emphasis, balance, etc. to which management must give attention. The Topics step is essentially a marshalling of a wide range of issues (related to the Agency's purpose and mission) from
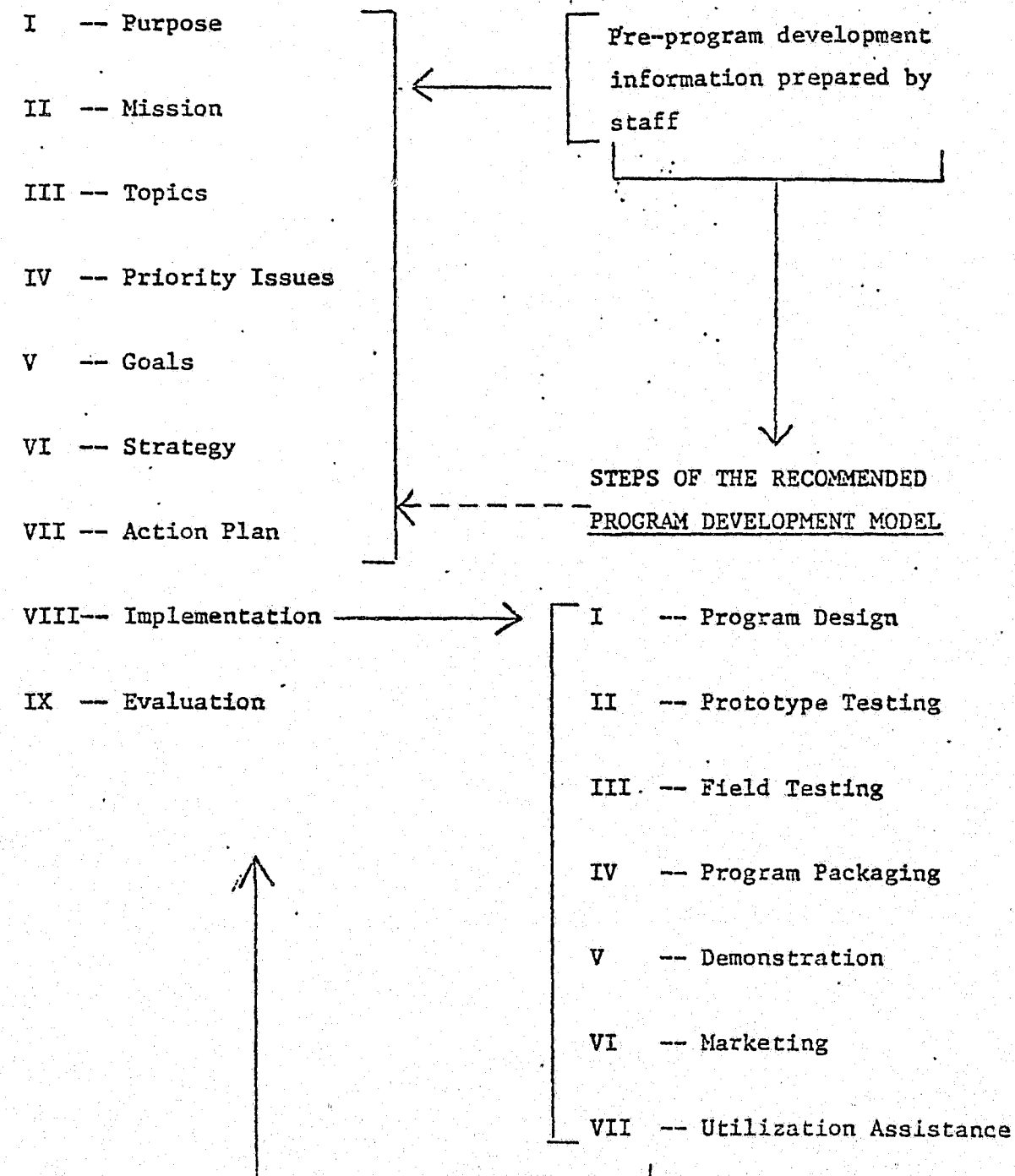
STEPS OF THE RECOMMENDED
POLICY PLANNING MODEL

I   -- Purpose

II   -- Mission

III -- Topics

IV   -- Priority Issues

V   -- Goals

VI   -- Strategy

VII -- Action Plan

VIII-- Implementation

IX   -- Evaluation

Pre-program development information prepared by staff

STEPS OF THE RECOMMENDED
PROGRAM DEVELOPMENT MODEL

I   -- Program Design

II   -- Prototype Testing

III -- Field Testing

IV   -- Program Packaging

V   -- Demonstration

VI   -- Marketing

VII -- Utilization Assistance

Figure 2

Linkage Between Policy Planning and Program Development

STEPS		DESCRIPTION	EXAMPLES

FOUNDATION STAGE

I.	PURPOSE	Identifies the societal function/sector to which a specific organization relates	Law Enforcement and Criminal Justice
II.	MISSION	Identifies the types of activities which are within the role domain of a specific organization	Research and Development, Financial Assistance, Program Development
III.	TOPICS	Identifies specific issues which could be addressed by a specific organization	Violent crimes, court delay, etc.

ACTION DECISION STAGE

IV.	PRIORITY ISSUES	Specifies the particular issues which an organization chooses to address	Selected from the above topics
V.	GOALS	Specifies the desired outcomes of an organization's activities	Reduce court delay from 90 to 60 days
VI.	STRATEGIES	Specifies the particular approach selected to address a priority issue	Improve capabilities of public defenders
VII.	ACTION PLAN	Details how a selected strategy is to be implemented	Assignment of responsibilities; costs and time requirements; expected end results

FOLLOW THROUGH STAGE

| VIII. | IMPLEMENTATION | Action plan is implemented | Program development process is activated; management monitors, controls and supports |
| IX. | EVALUATION | Summative evaluation of an action plan after it has been implemented | Has court delay been reduced from 90 to 60 days? |

Figure 4

Policy Planning Model

which the Agency may select a balanced mix of significant issues to which the Agency will commit itself.

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2) In our view, the Action Decision Stage (Steps IV - VII)
    is the core of the policy planning process. It is here
    that management makes decisions which translate the general
    concerns of the Agency into specific, actionable commitments.
    These decisions commit the Agency to address specific
    Priority Issues (Step IV) in terms of specific Goals
    (Step V) which are measurable and by which the Agency's
    work can be evaluated in terms of impact on criminal justice
    problems, the criminal justice system, etc. These decisions
    then further focus the efforts of the Agency around specific
    Strategies (Step VI) to be used to impact the priority issue --
    and then on the development of specific Action Plans (Step VII)
    for implementing selected strategies.

    The Action Decision Stage is the part of the total policy
    planning where management's attention and efforts are most
    intensely concentrated.

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3) The Follow Through Stage consists of the implementation of
    action plans (by staff) and the evaluation of their impact
    (in the field) on the selected priority issues. Management's
    role is that of monitoring, review, guidance and support.
    The results of impact evaluation are fed back into the
    policy planning process.

171   There is a sequential logic and flow in policy planning. The three
        stages illustrate this sequencing. There is a necessary sequencing
        from decisions about priority issues and goals to decisions

about strategies and the action plans. At the same time, as a
caution against becoming locked into a dysfunctional linear rigidity,
it is also important to recognize the flexibility, iteration and re-
cycling inherent in the use of policy planning. For example, the
steps of the Foundation Stage occur more or less simultaneously and
interactively. Selection of priority issues and designation of
specific impact goals (in Steps IV and V) is a highly interactive
process. Efforts to select strategies and to develop or implement
action plans may suggest the need to reconsider earlier goal and/or
priority issue decisions. Strategies being considered in relation
to one priority issue may need to be evaluated in terms of possible
synergy or conflict with other priority issues. Input to the policy
planning process may come from management, staff or external sources
(e.g.: State and local agencies); from the Agency's research activi-
ties; from efforts to implement the Agency's policy decisions.

In a similar vein, it is important to allow and support creative
thinking among Agency staff, unbridled by constraints of specified
priority issue, goal, strategy or action plan decisions. Research
is an important arena for developing new insights, new perspectives,
new suggestions, etc. Provision also needs to be made (though in
a more limited and controlled basis) for program and other staff to pur-
sue interesting ideas to a point where a case can be made to management.

Three further points may be made here.

1) Agency research is guided by considerations of Agency
    purpose, mission, the state-of-the-art, etc., as well
    as by the needs and requirements of programmatic
    activity.

2) During the policy planning process, there are shifting
    levels of management and staff responsibilities, invove-
    ment and interaction. This is represented in Figure 5 .

Policy Planning Steps	Involvement of Policy Level Personnel		Involvement of Staff Personnel	
	Level of Involvement	Comment	Level of Involvement	Comment
I — Purpose II — Mission	Moderate	Purpose and Mission are essentially mandated to the Agency from without (the Congress and the Justice Department responding to general societal needs and demands), although the top policy makers of the Agency would generally have some say regarding Mission, and perhaps especially with regard to emphasis and balance across missions.	Low	For Purpose and Mission, input from staff would be occasional. Staff may inform management about how these professional skills and interests relate to specific missions. May alert management to gaps and/or inbalances in mission.
III — Topics	Moderate	Topics identify issues the Agency could address.	Moderate	Staff prepare information and analyses re. topics needed by management; may propose topics
IV — Priority Issues	High	This step involves critical management priority decisions that determine what the Agency does.	Moderate	Staff prepare information and analyses needed by management. May propose priority·issues.
V — Goals VI — Strategy	High to Moderate	These steps involve further critical management decisions, but also design activity in developing strategies and identify goals.	Moderate to High	Staff prepare information and analyses needed by management, and propose strategies. Professional knowledge of staff is important.
VII — Action Plan	Moderate	Management provides guidance to plan development; makes decision to approve, modify, reject the action plan. Could sometimes become involved in the details.	High	For the most part, action plans would be designed by program personnel, under guidance of management.
VIII — Implementation	Moderate and Indirect	Management provides guidance, monitoring, control.	High	Implementation activates the program development process.
IX — Evaluation	High	Results of evaluation become feedback to the policy planning process	Moderate	Staff collects and evaluates the end results data about program usage.

Figure Five: Patterns of Involvement and Information Inputs

3) The flow of information from staff to management is critical to policy planning. This includes both information requested by management and suggestions developed on staff initiative. To assist this flow of information, we are suggesting an elaboration of LEAA's decision memo concept to include:

  * a Priority Issue Decision Memo

  * a Strategy Decision Memo

  * an Action Plan Decision Memo

Part
Seven

3. The Recommended Program Development Model

The proposed program development model is essentially an elaboration and explication of the current APDP Steps 4 through 7. Since we have retained the basic form of the APDP process it is not necessary to provide a detailed discussion of this model and the individual steps in this Executive Summary. A full description of the proposed process and the steps is given in Part Seven of this report.

A common framework has been used for the description of each step. This consists of an initial discussion of the purposes of the step, a specification of the basic tasks and the sub-task activities, and the end results to be sought. Each step is completed with the enumeration of an illustrative list of critical concerns. These last are questions and issues that are frequently overlooked or underconsidered. We give here particular emphasis to what we have termed the process of "looking backwards and forwards" in program development -- i.e., asking whether a particular step is soundly based on research, test and evaluation results; whether the program is reflecting the intent of policy decisions, or whether earlier policy decisions are being (or perhaps should be) modified; and whether sufficient attention has been given to the needs and problems of subsequent steps ("Are we making their problems easier or more difficult, providing the needed information in the appropriate form, and so on?").

For purposes of illustration, Figure 9 has been prepared to demonstrate (in an abbreviated fashion) the purpose, basic tasks (but not sub-tasks) and end result descriptions for each step. Also, for illustrative purposes, Figure 11[*] shows the list of critical questions which form part of the description of Step I -- Program Design.

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[*]Figure 11 is used only in this part of the report.

STEP	PURPOSE	BASIC TASKS	END RESULTS
STEP I PROGRAM DESIGN	An elaboration of a selected strategy into a package of programmatic activities, specifications and related materials to be implemented by the target user.	Elaborate the selected strategy, and develop a summative evaluation plan.	Package of programmatic activities, specifications and related materials to be implemented, including a summative evaluation plan.
STEP II PROTOTYPE TESTING	Try-out of the program design to work out bugs and fill in gaps. The process rather than the end results is the focus of monitoring and evaluation.	Identify weaknesses and modify the program design.	A program design sufficiently refined to permit field test validation; guidelines for redesign, or justification for recycling to policy planning.
STEP III FIELD TEST	The implementation of the program design at several sites selected to be representative of the range of intended users. It serves to determine its impact on the priority issue and its generalizability.	Conduct a field test to assess the internal and external validity of a program.	Level of confidence in the effectiveness of the program in relation to the priority issue which it addresses; and the useability of the program by intended users.
STEP IV PROGRAM PACKAGE	A form of package marketable to and useable by intended users. Includes descriptions of program processes and activities; staffing requirements, procedures and forms, materials for administrators on costs, staffing and training requirements, and description of the nature and logic of the program, steps, methodologies, etc.	Decide upon, develop, and publish a field tested program design in a packaged format.	A program design packaged suitable for marketing to and implementation by a user.
STEP V DEMONSTRATION	Demonstrate to potential users that the program could be used in various locations, and as a pre-marketing activity to encourage target users to adopt the program.	Implementation of the program in selected sites around the nation, evaluating results.	Program visibility and credibility, user knowledge concerning how, why, etc., and building user confidence in the program.
STEP VI MARKETING	A planned, integrated effort encouraging users to adopt the program. Includes such activities as: incentive, funding, workshops, presentations, technical assistance, test site visits, brochures, and training programs.	Convince agency decision makers to adopt and implement the program package.	The outcome of the marketing step will be the adoption of the program by various users throughout the United States.
STEP VII UTILIZATION ASSISTANCE	To sustain the success of the program over time in adopting agencies. Occurs after implementation, involves visits to demonstration sites, staff training, technical assistance, etc.	Provide assistance to users in their on-going utilization of the program package.	Effective utilization of the program by users, on a sustained basis, as indicated by the institutionalization of the program.

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Figure 9

Summary of Recommended Program Development Model

Figure 11*

Some Critical Types of Concern

For Step I -- Program Design

1) Has the program design: sufficiently taken into account the near and long term capabilities, motivations, etc. of the ultimate users of the program; considered the effects of current and changing political, social, and economic conditions on the robustness of the program design for field use; allowed for or guarded against (as appropriate) modification by users in the field; considered the needs for service and maintenance and for diffusion after field introduction?

2) Has the program design remained faithful to the intent of policy decisions, to its research base?

3) Has sufficient attention been paid to needs of later stages of the program: testing, packaging, marketing, etc., and have necessary understandings been developed with those who will be responsible for those stages? What special barriers, gaps, major time and fund consuming problems have been identified that require any special action? What inadequacies in the knowledge base of research, field data, etc. have been identified? What actions have been taken or initiated to deal with these problems and needs?

4) Will any special resources and structures be needed for this program, given the way it has been designed? Can these be made available?

5) Have any interesting alternatives arisen during our thinking about program design that should be considered to modify the strategy selected or to use as future strategies?

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*Extracted from Part Seven of this report.

Part
Eight

4. Some Issues of Agency Integration and Coordination

Besides being a series of decision steps and activities, the policy planning and program development processes are intended to facilitate integration and coordination.

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The need for integration and coordination arises from several perspectives:

1) Priority issues, strategies and therefore action plans often cut across Offices.

2) There is frequently a need to interrelate program development with research.

3) LEAA already has elements of a matrix-like organization; i.e., it is structured into a set of organizational units (Offices); and within these various Offices, there is a Division structure oriented around criminal justice functions (courts; corrections: etc.).

4) Policy planning and program development are interactive with other LEAA management processes such as MBO and budgeting.

A variety of coordinative mechanisms could be considered to meet the above kinds of integration and coordinative needs -- and different coordinative mechanisms may be appropriate for different purposes or situations.

There currently exists great variation and some proliferation in coordinative mechanisms across LEAA -- and staff have raised a variety of questions about this situation. We also noted, with some concern, what appeared to be a developing negative reputation among staff

concerning one of these mechanisms -- working groups. In our view, these groups could potentially become a source not only of coordination, but also of interfunctional innovation and creativity. This would require significant management support and appropriate group process training pointed towards such an objective.

There are no simple guidelines as to which kinds of coordinative mechanisms would be most appropriate for LEAA to use in connection with the recommended policy planning and program development processes. Many designs and combinations of mechanisms could be visualized that might vary across the policy, Office and program development levels. It is our further evaluation that further study is needed to enable LEAA to make decisions about what coordinative mechanisms it should use.

In relation to policy planning and program development, we can make the following additional comments.

299   First, a very important aspect of the recommended policy planning and program development process is the manner in which they integrate with other LEAA management processes -- particularly budgetting and MBO. The linkage with LEAA's budgetting process comes at the Action Plan step which would include a proposed budget, estimated over a multi-year period. The linkage with MBO would be established by relating objectives of staff to the attainment of Action Plan end results.

295   Second, we can _illustrate_ the kinds of coordinative mechanisms that _could_ be appropriate. For example, at the policy level appropriate coordinative mechanisms could be: (1) a consensus style among top management; and (2) a planned basis for meetings of this group (e.g.: regular bi-weekly half-day meetings; semi-annual retreats). Division managers could constitute a set of cross-Office coordinating groups for each criminal justice function, responsible for: providing management with the information and recommendations; assigning

responsibility to staff to prepare such information and recommendations (in particular the action plans); reviewing proposed action plans with management; keeping staff advised of policy issues and deliberations; providing guidance to staff concerning priority issues, strategies; etc.

At the program development level, action plan coordinating teams could be an appropriate mechanism, with staff who were assigned responsibility for developing action plans becoming the coordinating team responsible for implementation, and being supervised by a Division manager.

Part
Nine

IV.   IMPLEMENTATION

In Part Nine of the report, we will provide an outline of a plan for implementing our recommendations. Five premises have guided the design of our implementation plan.

1) There must be some congruency between the Agency's policy planning and program development processes and the Agency's mission, structure, and patterns of top management inter- action.

2) Agency top management must be meaningfully involved in and visibly committed to the processes.

3) The implementation can only succeed if staff understanding and commitment is established.

4) The implementation would need to take place in a gradual, clear and sustained manner, so as to deal with the transi- tion from current to planned practices, and in a consistent manner over time and across relevant parts of the organiza- tion.

5) The processes being recommended represent the next major phase of implementation that began with the introduction of APDP.

313ff ## 1. Management Decisions Affecting Implementation

Certain top management decisions can critically affect implementa- tion and therefore need to be made early. These decisions involve matters of congruency, top management role and commitment, and ex- ternal relations.

314 ## A. The Need for Congruency

Without a fundamental congruence between LEAA's mission, struc- tures and top management interaction patterns on the one hand and the recommended policy planning and program development processes on the other, we would seriously question the useful- ness of continuing to introduce such far reaching and relatively sophisticated processes as proposed in APDP.

In light of the above, critical questions arise with respect to:

Mission

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Management Decision No. 1 -- What is to be the nature of LEAA's mission and how shall this mission be accomplished?

This question, of course, forms the substantive content of Step II of the recommended policy planning process, and would therefore become a subject for top management dis- cussion, as part of the policy planning process. It is our view, however, that at least tentative agreements need to be developed at the beginning of the implementation process.

Organizational Structure

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Management Decision No. 2 -- Is LEAA to operate as a single organization, as a tight federation, as a loose federation, or as a group of essentially independent organizations?

The basic issue here is how strongly are the various Offices of LEAA to be linked -- i.e., how integrated is LEAA to be in terms of formal organization structures.

The essential point is that different types of processes and mechanisms best serve the needs of integration and

coordination under different types of orgaizational structure. We would not recommend the processes for a loose federation or for a group of essentially independent organizations -- unless a strong degree of consensus could be developed among the various organizational units which could have the effect of enabling a loosely-linked organization to operate as if it were tightly linked.

We do recognize that there are significant external factors that are shaping the structure of the Agency -- even to the point of determining its continued existence as a single institution.* However, it is both feasible and necessary for Agency management to make certain critical decisions as to how LEAA will function as an organization within the externally mandated constraints.

A related decision involves:

Top Management Leadership Processes

Management Decision No. 3 -- What type of top management style and process is to be used by the Agency?

Depending upon the leadership style and processes that are used, interaction among LEAA's top management could take several forms. These could vary from: centrally directed and enforced leadership; a consensus type of top management leadership; an interactive information-sharing type of management process; or a laissez-faire process in which the Offices would be operated essentially independently of each other.

Two other related top management decisions should be noted here.

Management Decision No. 3a -- Who is to be considered as part of LEAA's top management group?

*This point will be further discussed

Management Decision No. 3b -- How often and under what format should LEAA's top management meet?

B. Management Commitment and Involvement

Management Decision No. 4 -- Do members of top management really intend to commit themselves to implement and support the recommended policy and program management process?

This involves the willingness of top management to: make the critical decisions necessary for effective use of the recommended processes; adapt their own operating behaviors to the requirements of these processes; utilize the communication and reward systems of the Agency to ensure full understanding, cooperation, and support of Agency staff; provide staff with the needed resources, responsibility and authority.

While the issues may be stated simply, they nonetheless are of critical importance and may not always be simplistic in practice.

C. External Relations

Management Decision No. 5 -- What kind of relationship does the Agency want with State and local law enforcement and criminal justice agencies?

We have already noted this as an area requiring some attention from the Agency, but one for which we could make no specific evaluation or comment at this time. We see this as an area requiring further Agency study.

The above five questions lead up to a crucial sixth question:

Management Decision No. 6 -- Is LEAA to adopt and implement the recommended policy planning and program development processes?

We have listed this question separately and last because it is
our position that the management decisions discussed about should
precede management's decision about the adoption of our recommenda-
tion of APDP in its current form.

D.   A Possible Scenario of Top Management Decisions

The following illustrative scenario describes a set of management
decisions which would create congruent and supportive conditions
for implementation. They do not, of course, represent the only
decisions that could be made.

Management Decision Question	Possible Management Decision
No. 1: What is to be the na-ture of LEAA's mission and how shall this be accomplished?	Emphasis is placed on the R&D innovative base for LEAA pro-gram development.
No. 2: Is LEAA to operate as a single organization, as a tight federation, as a loose federation, or as a group of essentially independent or-ganization?	LEAA management decides to function as a tight federa-tion having many characteristics of a single organization.
No. 3: What type of top man-agement style and process is to be used by the Agency?	LEAA top management operates in a consensus mode. Extensive use is made of participative inputs at both the management and staff level.
No. 3a: Who is to be consider-ed as part of LEAA's top man-agement group?	LEAA's top management group con-sists of: the administrator, the assistant administrators, the heads of LEAA's Offices and the head of LEAA's planning unit.
No. 3b: How often and under what format should LEAA's top management meet?	Top management meets on some regu-lar basis (e.g.: weekly or bi-weekly meetings plus regular retreats).
No. 4: Do members of top management really intend to commit themselves to implement and support the recommended policy and program management processes?	LEAA top management would use the proposed models to make decisions, would encourage the rest of LEAA to do so, and would monitor and control the use of the proposed processes, includ-ing application of LEAA's reward and penalty system.

No. 5: What kind of relation-ship does the Agency want with State and local agencies?	Top management chooses to main-tain close, cooperative relation-ships with State and local agen-cies in the Agency's policy plan-ning and program development pro-cesses.
No. 6: Is LEAA to adopt and im-plement the recommended policy planning and program develop-ment processes?	In light of the above decisions, LEAA adopts and implements the recommended processes.

2. Other Important Aspects of the Implementation Plan

A. Obtaining Staff Committment

The necessity of staff commitment to the program development
process is reasonably obvious. They are the ones who have the
responsibility for implementing the program development process
in accordance with an approved action plan, and for providing
information management needs to make decisions about priority
issues, goals, strategies, and action plans. Professional
staff are an important source of ideas and suggestions. The
implementation plan outlined seeks to develop staff commitment
by having strong, sustained and visible management commitment;
by providing for the need for staff to clearly understand the
policy planning and program development processes including an
understanding of the relationship between the two processes.
This is developed by: clarifying and elaborating aspects of the
current APDP design; by building a process of gradual and staged
implementation; by providing separate training sessions for
policy planning and for program development to permit concentra-
tion of focus; and by having the form and process of training
mirror the operating process of policy planning and program develop-
ment (e.g.: by training personnel in groups organized by criminal
justice function on a cross-Office basis).

We see these suggestions as building upon the APDP training efforts.

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We have listed this question separately and last because it is our position that the management decisions discussed about should precede management's decision about the adoption of our recommendation of APDP in its current form.

D. A Possible Scenario of Top Management Decisions

The following illustrative scenario describes a set of management decisions which would create congruent and supportive conditions for implementation. They do not, of course, represent the only decisions that could be made.

Management Decision Question	Possible Management Decision
No. 1: What is to be the nature of LEAA's mission and how shall this be accomplished?	Emphasis is placed on the R&D innovative base for LEAA program development.
No. 2: Is LEAA to operate as a single organization, as a tight federation, as a loose federation, or as a group of essentially independent organization?	LEAA management decides to function as a tight federation having many characteristics of a single organization.
No. 3: What type of top management style and process is to be used by the Agency?	LEAA top management operates in a consensus mode. Extensive use is made of participative inputs at both the management and staff level.
No. 3a: Who is to be considered as part of LEAA's top management group?	LEAA's top management group consists of: the administrator, the assistant administrators, the heads of LEAA's Offices and the head of LEAA's planning unit.
No. 3b: How often and under what format should LEAA's top management meet?	Top management meets on some regular basis (e.g.: weekly or bi-weekly meetings plus regular retreats).
No. 4: Do members of top management really intend to commit themselves to implement and support the recommended policy and program management processes?	LEAA top management would use the proposed models to make decisions, would encourage the rest of LEAA to do so, and would monitor and control the use of the proposed processes, including application of LEAA's reward and penalty system.

No. 5: What kind of relationship does the Agency want with State and local agencies?	Top management chooses to maintain close, cooperative relationships with State and local agencies in the Agency's policy planning and program development processes.
No. 6: Is LEAA to adopt and implement the recommended policy planning and program development processes?	In light of the above decisions, LEAA adopts and implements the recommended processes.

2. Other Important Aspects of the Implementation Plan

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We see these suggestions as building upon the APDP training efforts.

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The implementation plan also seeks to create a need for staff to
understand and use the policy planning and program development
processes -- through management insistence on information, answers
and justifications that staff can provide by using the processes;
and through management enforcement of compliance by rewarding
those Offices and persons who use the processes and, as necessary,
withholding support and rewards from those who do not.

331   B.   Phased and Gradual Implementation

The last aspect of our basic implementation philosophy is the use of
a phased gradual process of implementation.

Specifically, the implementation plan has been developed to take place
over an 18 month period in a series of phases and stages, each with
its own objectives and suggested time table as follows:

Phase I: Initial Introduction 1976-78	As noted earlier, we consider the initial implementation of APDP to be a Phase I, initial implementation phase. In our opinion, LEAA is now ready for a next phase of implementation.
Phase II: (Months 1-18)	
Stage 1: Preliminary Decisions (Months 1-2)	Management studies the policy planning and program development processes; makes preliminary decision concerning Agency structure, mission and management processes that will justify (or abort) continuation of implementation process; and sets the implementation plan.
Stage 2: Initiation Mode (Months 3-8)	The recommended and revised policy planning and program development processes are gradually introduced into organization at the same time that the organization and personnel are being prepared for the revised approaches. Emphasis in communication with staff is that the policy planning and program development processes are an elaboration, not a replacement, of APDP.

Stage 3: Pilot Test of Normal Mode (Months 9-18)	During this period, the Agency would attempt to use the processes in a normal and full-scale manner, but in the sense of a pilot test of the processes. At this point management begins to insist on staff and Office compliance.
Phase III: Evaluation	(Overlaps with the end of Phase II)
Stage 1: Evaluation (Month 16)	Towards the end of Phase II, there is a formal evaluation of the implementation of the policy planning and program development processes.
Stage 2: Review (Months 17-18)	Agency management reviews the evaluation of the experience to date and determines whether to continue and/or to initiate changes in the processes.

The first two stages of Phase II (Months 1-8) are the periods during
which the elaborated policy planning and program development processes are initially exposed to the Agency at-large. During this
period, the implementation is on a gradual basis. The strategy is to:

1) Establish the necessary initial organizational conditions
   for implementation and to set in motion a series of decisions
   that will create the basis for the policy planning and program development processes.

2) Stimulate and prepare the organization through:

   a) making management commitment visible;

   b) beginning to operate informally in the desired
      manner (i.e., creating a need for the processes);

   c) intensifying communications to staff;

   d) reshaping existing program plans into the desired
      format, to the extent feasible (including retrofitting or setting aside some current programs).

3) Initiate a new round of training in a cascading approach: provide training for top management; then train trainers, then mid-managers, and then program level personnel.

Stage Three of Phase II (months 9-18) should be seen as a full-scale pilot test of the policy planning and program development processes. By this time, staff and management should have sufficient working knowledge to use the processes.

Phase III (months 16-18) provides an opportunity to evaluate the results of implementation and, as necessary, modify (or even abandon) the design or the implementation process after the end of 18 months. In effect, the period beginning in month 19 would be the final phase of institutionalizing the policy planning and program development processes on a sustained and ongoing basis.

We are recommending that the process of implementation begin within the reasonably near future. Given that the current implementation of APDP has been taking place over approximately a two-year period, we would be concerned if a six-to-twelve month hiatus were to develop before the next phase of implementation begins. At the same time, we recognize that the possibility for a reorganization of LEAA might raise questions about immediate implementation.

It has been our observation that organizations introducing major changes tend to plateau out in their initial efforts after a year or so. It is then often most helpful to provide something of a "booster shot: at this point to renew momentum. The lack of such reinforcement will too often allow the plateauing to become stagnation and then deterioration. To be effective, the reinforcement that is given should contain at least some new elements. This helps people to justify the perceived "slowness" or "confusion" of the past period, helps them to rationalize away any previous resistance (which some people may be seeking an excuse to abandon), and provides some new excitement that can help overcome the inevitable inertia-creating disappointments of first efforts.

We believe that our present recommendations contain these characteristics, and could properly be viewed as a normal phase two

APDP implementation effort. It is also important to note, however, that the changes that we have recommended at this time, and those that might be added after 18 months, are to be seen as evolutionary and expansionary, and not as radical or revolutionary changes that call for the abandonment of current efforts and their replacement.

C. Training

We will limit ourselves here to making some suggestions about the training process which build upon the training approaches used for the APDP implementation and upon the nature of the recommended policy planning and program development processes.

First, it must be remembered that training is only one aspect (albeit a crucial one) of the total implementation process. As we noted earlier, a comprehensive implementation plan will need to include (on a planned basis) such other elements as creating a need for staff to understand and use APDP.

We suggest providing separate training sessions for the policy planning and program development processes. This would help eliminate two problems we noted: an overload of information at one time about a relatively sophisticated process; and a confusing mixing of "levels" (policy and program).

We also suggest using a "waterfall" process of training by starting with top management, then training the trainers, and then successively training division managers, program managers, and other staff. The objective is to make the training a process that can and will be reinforced by every level of management in its turn, and to have staff view the activity as a total organizational effort.

Finally, we suggest a cross-Office approach based on a criminal justice function approach. That is, where feasible, training groups would be established for each separate criminal justice function (e.g.: courts; corrections). Each function-based group would include staff from all Offices of LEAA. The objective would be

to make the training experience mirror (and in fact prepare staff
for) the actual work context -- with special emphasis on the con-
sideration of alternatives. In this way the creative adaptations
that typically grow out of training programs can be useful in
that they would involve the actual people who need to work together
on the job. It would also be helpful to include some team building
into the overall training program designed to help participants
improve their group process skills and become more effective as
group members.

Part
Ten

V. SOME FURTHER STEPS

This study has revealed several areas where further study by
LEAA is needed in relation to the recommended policy planning
and program development processes -- areas which we have tried
to take into consideration in presenting our recommendations,
but which were beyond the scope of this study to examine in
depth. These include:

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1) Implications for LEAA's policy planning and program develop-
ment of the current discussions of possible reorganization
of LEAA -- with a specific concern for: (a) how to provide
for appropriate interaction between research and program
development under a very loosely linked organizational
structure; and (b) potential dangers for a separated,
essentially autonomous research unit.

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2) Further developing the policy planning/program development
framework presented in this chapter to an operational level
of detail and specificity with respect to such matters as:
development of some form of a decision choice model for
action policy decisions; specifying the mechanisms or
processes to be used for identifying and arraying topics;
allocation/assignment of specific responsibilities for the
steps, roles and tasks of program development; further
elaboration of the criteria for determining what is/is not
to be considered a program; determining the specific types
of coordinative mechanisms that would be used (and when)
within and between the Agency's policy planning and program
development processes.

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3) LEAA's relationships with State and local agencies.

387   4)   Policy planning processes <u>within</u> each of the separate LEAA
           Offices.

389   5)   Developing management processes for implementation of policy
           level decisions concerning LEAA's general activities other
           than program development.

391   6)   Providing a comprehensive descriptive analysis of the
           criminal justice context and the implications for the work
           of LEAA.

We will discuss these concerns briefly in Part Ten of this report.

In particular, we believe it important to give further con-
sideration to current deliberations concerning a reorganization
of LEAA in ways that could significantly impact LEAA's capacity
to carry out its mission. We believe that there are some
potential dangers which should be carefully examined, in parti-
cular the possibility that instead of protecting the criminal
justice research function (an objective with which we whole-
heartedly concur), a separated research function might well
be left quite vulnerable. We will discuss this concern in Part
Ten, and we have included materials in the Appendix which
further discuss this concern in relation to other Federal agencies.

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5) A questionnaire survey* was sent to approximately 300 professional staff members of LEAA in September, 1978. Responses were received from 122 persons in OCJP, NILECJ, OJJDP, NCJISS, OCJET, OCACP, and OAI. Replies were sent directly to us to ensure confidentiality.

In general, we found LEAA personnel to be quite open and cooperative. At the same time, we also did at times find concerns about the implications of APDP (and thus of this project) on the roles of Offices.

The data collected in this project (and in particular the questionnaire and interview data) serve two purposes. The first, of course, is to provide information on which to evaluate and make recommendations concerning the design and implementation of policy planning and program development processes at LEAA. Second, this data may serve as baseline data against which to make future evaluations of the implementation and impact of these processes.

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* See Appendix for the data report.

VII STRUCTURE OF THIS REPORT

The following outline describes the rest of this report.

Part One has provided an Executive Summary and an overview.

Parts Two through Four provide the reader with the basis for our recommendations -- our analysis of issues at LEAA and our findings.

> Part Two describes the environmental and organizational context within which LEAA developed APDP and which therefore provides a necessary perspective for the evaluative discussions in Parts Three and Four.

> Part Three will be an assessment of APDP with respect to (1) the impact of APDP, (2) its implementation, and (3) its basic design. Specific findings and general recommendations will be indicated.

> Part Four will provide an analysis of policy planning processes at LEAA. Specific problems together with general recommendations will be indicated.

Parts Five through Seven present and discuss our recommendations for policy planning and program development.

> Part Five provides some initial overview considerations relevant to both policy planning and program development.

> Part Six presents and discusses our recommendations for policy planning.

Part Seven presents and discusses our recommendations
for program development.

Part Eight discusses the requirements for integration
and coordination between policy planning and program
development, across Agency Offices and functions, and
between the proposed processes and existing Agency
management and planning processes (e.g.: MBO, budgeting).

Part Nine describes the necessary implementation steps and
management decisions required to successfully achieve the
transition from current processes and conditions to those
being recommended. Organizational implications, training
requirements and a suggested time-table will be provided.

Part Ten will discuss further studies which we believe are
needed in relation to the recommended policy planning and
program development processes, but which were beyond the
scope of this project. These include consideration of
the concerns noted in V above.

The above structure permits the reader to combine the Executive
Summary and overview in Part One with the more detailed discussions
in any one part or group of parts of this report, as needed.

Appendices will include the following:

I   -- a brief comparative review of our experience with the
       National Institute of Education and the Department of
       Energy in relation to the issues discussed in this report.

II -- data and analyses from our questionnaire survey.

III -- a list of LEAA personnel we interviewed.

PART TWO

CONTEXT AND ISSUES FOR PROGRAM MANAGEMENT
IN AN INNOVATION-ORIENTED SOCIAL SERVICE AGENCY

TABLE OF CONTENTS

APDP is a systematic program development and management process designed to facilitate the achievement of LEAA's purposes and missions through better selected, directed and integrated programs. Thus an examination of APDP must take into account not only the nature and implementation of the process itself, but must also consider how it relates to and contributes to the Agency's difficult and complex mission. It must also take into account those aspects of LEAA's context (its operations and its environment) which tend to make the use of a systematic program development process such as APDP difficult.

Further, an examination of APDP must recognize that the Agency faces a number of substantial management challenges with respect to the integrative objectives and aspects of APDP — challenges that will have to be recognized and dealt with if APDP is to be relevant to LEAA's needs and if APDP is to be properly and meaningfully implemented.

This section, then, will briefly overview aspects of LEAA which we think important for providing a perspective on APDP and its implementation. Specifically, we will look at:

1) the nature of LEAA's mission;

2) certain aspects of LEAA's context; and

3) management challenges with respect to the integrative objectives of APDP.

I. THE NATURE OF LEAA'S MISSION

Title I (Law Enforcement Assistance) of the Omnibus Crime Control and Safe Streets Act of 1968 (as amended) states that LEAA is to:

1) Encourage, through the provision of Federal technical and financial aid and assistance, States and units of general local government to develop and adopt comprehensive plans based upon their evaluation of and designed to deal with their particular problems of law enforcement and criminal justice;

2) Authorize, following evaluation and approval of comprehensive plans, grants to States and units of local government in order to improve and strengthen law enforcement and criminal justice;

3) Encourage, through the provision of Federal technical and financial aid and assistance, research and development directed toward the improvement of law enforcement and criminal justice and the development of new methods for the prevention and reduction of crime and the detection, apprehension, and rehabilitation of criminals.

This statement of responsibilities provides LEAA with a broad scoped purpose and mission. Under this mandate, LEAA must be concerned with the many and varied aspects of crime; with a broad and diffuse set of operational agencies (primarily but not exclusively governmental) included in the criminal justice system; with the broad range of types of activities, technologies, and processes used by

these operational agencies; with <u>other institutions</u> involved in criminal justice R&D and innovation; with the development and application of <u>innovation;</u> with a <u>variety of approaches</u> which LEAA is mandated to use in the fulfillment of its purpose (e.g.: technical and financial aid and assistance, R&D, development of innovative methods, evaluation) and other approaches which are stated in, may be inferred from or are compatible with its authorizing legislation.

Such a broad mission puts a premium on coordinated policy making and priority setting and the careful integration of the many and varied activities and attendant specialties in which the Agency must engage to achieve the mission. At the same time, this very richness of activity and relationships makes it difficult to achieve needed consensus on purposes, missions, priorities and strategies -- and the holding together of the various parts of the organization becomes a quite substantial management task. If it is to be "up to the challenge", APDP would need to match the broard and complex problems of the Agency with its scope and complexity of design, with its implementation, and with the strength of the support given to it by LEAA's management.

Four further characteristics of LEAA's broad scoped mission should be noted here.

First, the <u>basic</u> nature, scope and parameters of LEAA's mission are not within LEAA's powers to determine -- they are externally mandated by the Congress through LEAA's authorizing legislation. <u>Within</u> this basic framework, however, LEAA <u>does</u> have varying degrees of flexibility and responsibility to determine such matters as: what issues will be given attention, when, and with what relative emphasis and priority; what specific approaches will be used in relation to specific issues; what kind of balance the Agency will seek to maintain across the various aspects of its broad scoped mission.

Second, the major concern of LEAA is to <u>impact</u> (improve) the operational criminal justices <u>system</u>, and most specifically, State and local criminal justice agencies.*

Third, a significant portion of LEAA's activity is specifically innovation-oriented and R&D based.

Fourth, in light of the above, LEAA's efforts involve linkages with, and the cooperation of, State and local agencies in terms of: (1) providing information to LEAA about critical problem issues; (2) testing innovations under field conditions; and (3) institutionalization of successful innovations within the State and local criminal justice system.

Thus any APDP design recommendations should contribute to LEAA's innovation and assistance missions and be concerned with LEAA's linkages to State and local criminal justice agencies. The design should also, most importantly, be able to provide management with guidelines for identifying and establishing its program priorities -- within the constraints of its given resources, its mandated missions and structures.

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*We recognize that there are significant differences between State and local agencies; between the various State level agencies and between the various local level agencies; and between public and private agencies at the State and/or local levels. We further recognize that the "State and local" organizations may be non-public as well as public. However, for simplicity of presentation, we will use the <u>term</u> "State and local" and assume the reader will keep the above points in mind.

II.   A DIFFICULT CONTEXT

LEAA's mission has to be carried out under a set of very difficult
conditions. For example:

1.   External Pressures

As a public agency, LEAA is subject to a variety of external pres-
sures.

In the first place, the simple fact that criminal justice[*]is a social
service function has significant implications for the work of LEAA.
Precisely because the lives of people and the functions of government
are involved, social service contexts are highly value-laden and
political. This is especially true in areas such as criminal justice
which are highly visible and are strong public concerns. Thus, the
many and often conflicting perspectives, values, opinions -- and the
shifting of public or political emphases, pressures and support -- make
an agency's task difficult in such matters as: identifying issues,
problems or opportunities;[**]determining priorities for financial and
technical assistance, or for R&D; assuring implementation of innovations
by State and local users.

In the second place, as a public Agency LEAA is subject to evaluation
and potential criticism from a variety of external sources -- sources
which tend to have their own perspectives of what LEAA should be, what it
should do (and how well), etc. The concern here is the ability of LEAA
to interact effectively with various external critics -- in the sense
of: having effective linkages of communication with the Agency's
external publics; of learning from valid criticism; and of having well-
chosen priorities, goals and strategies.

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[*]For the sake of simplicity, we will use the term "criminal justice"
rather than the longer term "law enforcement and criminal justice."

[**]This is commonly referred to as the need identification process.
It is our observation, however, that the very use of the term "need"
in law enforcement has tended to be associated with very narrow, non-
issue specific responses such as "more funds", "more cars", etc.

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Third, the various Offices of LEAA have somewhat different external
constituencies (as a function of the differences in roles and areas
of concern across the Offices). These different constituencies have
three kinds of impact relevant to this study. Pressures from different
constituencies can lead to consideration of issues in isolation from
each other (and thus to lack of consideration of possibilities for
either synergy or conflict across issues and related Agency goals
and response strategies). Pressures for different constituencies
can have a "separating" impact among LEAA's Offices (e.g.: pressures
to have the research areas of LEAA become an autonomous research
institute in the mold of NIH and other Federal research institutes).
Finally, the various constituencies of LEAA and its Offices can also
be an important source of support.

2.   Innovation-Related Difficulties

The fact that LEAA's mission involves R&D and innovation must also
be considered here.

A.   The Nature of Innovation

A total process of innovation involves a number of functional
activities such as: determining issues, problems or opportun-
ities which an innovation might address; R&D; production;
innovation; dissemination, demonstration, marketing; acquisi-
tion and implementation/utilization; and evaluation. These
functional activities typically have differing resource and
time line requirements, require differing types of skills, are
performed by persons with different professional perspectives
and concerns, and are often performed by different organizations.
These differences often present significant difficulties for
those involved in and responsible for managing processes of
innovation.

B. A Complex, Underdeveloped Knowledge Base

The knowledge base for criminal justice innovation is very complex -- i.e., knowledge relevant to criminal justice may be found in a multiplicity of fields and disciplines (e.g.: sociology, psychology, organization behavior and theory, law, and others). Further, the knowledge base with respect to criminal justice is relatively underdeveloped (compared, for example, to the health sector).

C. A Diffuse and Relatively Immature R&D System

The institutional R&D system for the production, delivery and utilization of innovation in criminal justice is diffuse and relatively immature (for example, when compared to health, aviation, and the physical sciences).[*] Many institutions (including LEAA) are relatively new. Linkages are often weak between in-house R&D, universities performing criminal justice research, manufacturers of equipment for criminal justice agencies, etc.[**]

3. Resource Limitations

Research and application resources (skills as well as finances) have often been limited and unreliable (as to year-to-year availability) at federal, state and local levels. Only a very small portion of the budgets of State and local criminal justice agencies is available for the acquisition and utilization of innovations.

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[*] See Radnor, Spivak and Hofler (1977) for a comparative analysis of law enforcement/criminal justice, health, aviation, and other sectors. see also the appendix of this report.

[**] See Radnor (1975)

4. Complex Issues and Problems

In general, it is safe to say that the issues and problems of crime to which LEAA addresses itself are complex and difficult to define. Causes are likely to be multiple -- and there may be significant disagreement about what are causes and/or about which causes can be effectively addressed. Consequently, developing solutions may be quite difficult. Evaluation of the effectiveness of solutions may be difficult. There may be significant differences about what problems should be considered high or low priority -- or even whether a "problem" exists or not.

5. Frequent Changes in Organization and Leadership

LEAA as an agency has been subjected to a significant number of organizational, leadership and policy changes. Thus, management of LEAA's R&D and innovation activities -- which demand a degree of stability in direction, funding, personnel and programs -- becomes especially difficult.

The above five contextual conditions, inevitably, make it difficult to maintain consistent policies and to manage large scale programs that may involve complex and difficult internal and external relations that often span several years. We would therefore have to expect that any management development process, certainly one as complex and as sophisticated as APDP, would have to go through a series of adjustments before becoming properly tailored -- with considerable learning and transition pains and problems.

6. Block Funding

A major aspect of LEAA's mission involves block funding. For a large part of the Agency's constituency this is perceived as the predominent mission. While block funding is not per se an issue or focus for this study, it is important to note the difficulties it creates for LEAA in trying to serve its several different kinds of missions. Thus, for example: What is the relationship (within LEAA) between its

block funding and its R&D/innovation activities? In what ways might
the LEAA/State and local interaction have different (perhaps con-
flicting) dynamics, requirements, perspectives, etc. with respect
to block funding as compared to R&D and innovation? To what extent
are there different LEAA constituencies for block funding as com-
pared to research or to program development? What different per-
spectives, expectations, pressures do these constituencies bring
to LEAA? In a word, while block funding is in one sense a distinct
and separate LEAA activity, there are inherently issues of inter-
action and coordination in relation to policy planning and program
development.

III. MAINTAINING INTEGRATION

The combination of a broad-scoped mission and a very difficult con-
text presents LEAA with substantial management challenges and dilemmas.
One challenge which is particularly important is the issue of inte-
gration -- and the process by which it is achieved and maintained.

1. The Need for Balance and Linkages in Innovation

LEAA is an agency with responsibilities that totally span the stages
and functions of an innovation process noted earlier. Thus, LEAA's
program portfolio must:

1) provide a proper balance among such functional activities
    of an innovation process as basic research, various types of
    applied research and development, testing, demonstration,
    marketing, implementation, technical assistance, evaluation
    and so forth;

2) provide for adequate and appropriate linkages between these
    functional activities;

3) provide a proper balance between short and long term con-
    cerns.

Additionally, LEAA must also be concerned with balance and integra-
tion of these functional innovation activities across the criminal
justice system as a whole. One measure of the degree of maturation
of an R&D and innovation system is the development of the linkages
noted above (while recognizing that maturity tends to vary in char-
acter across fields). It was because of our perception of a weak-
ness in this regard that we earlier described the criminal justice
R&D system as being relatively immature.

2. Relating R&D and Practice

Integration is vital in order to ensure that where appropriate, programs devoted to aiding practice, implementing and sustaining innovation in the field, and so on (the delivery and maintenance side of the system) will be informed by, guided by, and often (but not always) derived from the outputs of the R&D process. Integration also is vital in order to ensure that to an important degree the programs and projects of R&D have been informed by adequate problem identification processes that derive from practice.

3. Creativity and Basic Management Decision Processes

To maintain a healthy R&D and innovation process, it is necessary to provide for specialization, for relatively long time horizons, and for the safeguarding of the independent, flexible environment needed for creativity. Further, in a field that is properly viewed as much as a "craft" as a "science based discipline" (and we assert that criminal justice should be so viewed), it is also vital that those functions that deliver and support practice in the field be able to initiate such programs as may derive from other sources of (good) practice that may have appeared in the field.

The challenge here to LEAA management is that while its programs must be well planned and managed, the process of discovery tends to be an emergent process and cannot always be foreplanned with precision. Thus, on the one hand, LEAA must:

1) provide within its own domain a _flexibility and freedom_ within which the pursuit of new ideas is supported; and

2) be able to _find and support_ innovative discoveries of practitioners in the field.

On the other hand, LEAA must also have a process whereby such innovative ideas _can_ be brought into its _basic management decision process_ for: (1) incorporation into existing (or new) LEAA program priorities and plans; and (2) for testing, evaluation and development. Thus there must be linkage and integration within the Agency between the processes of _innovation_ on the one hand and of _planned management_ of policies and program development on the other hand.

4. LEAA's Federation-Like Structure

Another challenge to LEAA management is presented by the nature and dynamics of LEAA's organizational structure. On the one hand, LEAA is a _single_ organization with several functionally-defined units. On the other hand, the role of the Congress in specifically establishing some of LEAA's basic units, in specifying separate appointment and Senate confirmation of some LEAA positions, and in specifying the use of portions of LEAA funding -- these factors tend to make LEAA more like a _federation_ of semi-autonomous units. This, in turn, tends to lead to overlap across units, to differing and sometimes conflicting perspectives, and to organizational roles and responsibilities which are difficult to define and manage.

The integration issue for management is to determine both: (a) the nature of inter-unit integration and management which is desired (by LEAA) and feasible; and (b) effective mechanisms for such inter-unit integration and management.

5. Implications

There is no single or simple solution to these management challenges. The appropriate solution can vary by field, by stage of development of fields, by the nature of constituent organizations, by the management style of an organization's key personnel, and by historical and political accidents that create various imbalances. The processes to be used must, however, be appropriate to the organizational and environmental conditions that exist.

Later in this report we will discuss several critical questions
that are an essential outcome of the issues raised above. These
questions have to do with:

a) implications of LEAA <u>functioning</u> as an integrated organiza-
   tion or as a very loose federation of independent functions
   and entities;

b) the question of the <u>method</u> by which integration and coordin-
   ation may be obtained -- e.g.: through the development of
   an overall consensus as to purposes, mission, priority
   issues, strategies, etc.; and/or by such structural mech-
   anisms as organizational reporting relations, operating
   procedures, the imposition of sanctions or distribution of
   rewards, etc.

Management challenges of the type noted above are not unusual. They
can also be observed in education, in health, in aging, in energy,
etc. Agencies operating under these conditions have often suffered
from significant shortcomings in their policy making and program
management efforts. These shortcomings tend to be manifested in
unclear and often conflicting missions and strategies; in programs
that are poorly (if at all) tied to goals and priorities, and that
are poorly integrated; and in management processes that are vulnerable
to special interests, pressures, and shifts in social and political
emphases. These shortcomings may substantially hamper agency per-
formance and consequent political and public support. It is to LEAA's
credit that it has recognized and taken significant steps to respond
to such problems with the creation of APDP.

PART THREE

ASSESSMENT OF APDP

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It was encouraging to see that LEAA had recognized many of the issues discussed above and had proceeded to attempt to deal with them by designing and implementing a "rational approach to development of action programs" (LEAA 1976). We view the creation of APDP as an appropriate and a very important action by LEAA.

APDP was developed by LEAA in 1976[*], essentially in response to part of the needs discussed above. The general objectives of APDP were to improve the value and effectiveness of LEAA action programs; to increase our knowledge of which concepts, approaches and techniques are most successful in controlling crime and improving criminal justice; and to increase the utilization of knowledge. The principle design features of APDP involved the linking of research, testing and evaluation with the design and development of action programs. Thus, APDP was created to provide (as agency policy) a planned management approach for action program development and to set forth the organizational alternatives available for carrying out program development in accordance with this approach.

Implementation of APDP began in October, 1976, with the issuance of a set of instructions. By 1977, staff from all parts of LEAA had been involved in training programs that included presentations about APDP, small group discussions, group reports and comments from top management of LEAA.

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[*]APDP grew out of an original concept proposed in the Lazar report (March, 1976) which investigated "External Review Mechanisms". The system recommended in the Lazar report was subsequently modified by LEAA personnel and elaborated into APDP.

The initial design of APDP contained ten steps:

1) Information Collection of Problems and Needs

2) Analysis and Prioritization of Problems

3) Identification and Prioritization of Program Opportunities Concepts

4) Initial Design

5) Testing

6) Development of Design and Performance Specifications

7) Field Demonstration

8) Evaluation and Refinement of Specifications

9) Documentation and Marketing

10) Further Evaluation and Refinement of Specifications

Later instructions (in May, 1977) attempted to resolve confusion about this initial APDP design by creating a new set of seven APDP steps, which represent the current APDP design. This was followed by additional training.

The steps of APDP in its current form are:

Step One -- Policy Planning

Step Two -- Problem Definition

Step Three -- Selection of Response Strategy

Step Four -- Program Design

Step Five -- Testing

Step Six   -- Demonstration

Step Seven -- Marketing

It will probably be helpful here to comment briefly on the "newness" of APDP. In a very real sense, we consider APDP to be a major new process for LEAA -- and we will so refer to it in this report. At the same time, we do recognize that this assertion may be qualified in a valid way -- i.e., in the sense that it represents a growing maturation, a "next logical step" formalizing (but nonetheless expanding) activities and directions which have been developing in LEAA in recent years. Nonetheless, we do agree with LEAA management and the designers of APDP that APDP is an essentially new process for LEAA -- as an Agency-wide process, in terms of its content and scope, and in terms of its formalization.

Further, it is well worth noting that APDP is new not only to LEAA but would be new for most Federal agencies that we have observed. Indeed, as we noted in our original proposal, this latter point is precisely why we were interested in working with LEAA to evaluate APDP and its implementation.

We now turn to an assessment of APDP in terms of its:

1) impact

2) implementation

3) design

This assessment will be based on:

1) data obtained from LEAA management and staff (from meetings, questionnaires, observation, interviews, and review of tapes of APDP training sessions);

2) review of APDP instructions and other relevant LEAA documents;

3) our experience with a variety of organizations having innovation and practice improvement orientations (spanning industrial R&D to governmental agencies).

I.   IMPACT OF APDP

This section will provide an overview of the impacts of APDP to date.
First, however, we will suggest the kinds of perspectives and criteria
needed for an appropriate·evaluation. In effect, then, this section
will attempt to answer the question: Do the impacts of APDP to date
indicate appropriate progress in the introduction and use of APDP?

1.   An Appropriate Perspective

The initial implementation of APDP began approximately two years ago
and was designed to be a gradual process. Since program development
is a relatively long term process, the implementation of APDP is
sufficiently recent that most new LEAA programs would not likely
have gone through all of the APDP steps. Thus, a current evaluation
of APDP impacts would need to be based upon examination of short term
rather than long term impacts. This point was noted in our original
proposal to LEAA, which suggested a second (later) project for a more
full-scale evaluation of the impact of APDP over time.

It is also important to note that there are some factors which would
tend to limit the current short term impact of APDP. For example:

1)   There are inherent issues and problems of <u>transition</u>
     whenever a new management process is introduced into an
     organization.

2)   We would normally expect to find "retrofit" difficulties in
     terms of fitting already existing programs into APDP.

3)   The difficult context noted in Part Two would present obstacles
     to the effective introduction and use of <u>any</u> process for
     program development.

Thus, APDP will need to be evaluated in terms of realistic impact
expectations.

Any management process of the type and scope of APDP must be given time
to take root and a chance to succeed. However, it has been our experience
(with both public and private organizations) that when such major new
management processes are first introduced, several dynamics can quite
typically be observed: members of the organization tend to have
unrealistically high expectations for short term impacts; the process
appears not to be everything that a variety of people want (thus,
"shortcomings" of the process may be emphasized); members of the
organization tend to tinker unnecessarily with the new process.

2.   Reasonable Expectations: A Basis for Impact Evaluation

The previous discussion suggests an important consideration.
Because of the importance of APDP as a management process, it is not
realisitic to expect LEAA management to "sit back for a few years and
hope APDP works." This would simply not be good management practice.
Rather, LEAA's management does have a <u>valid short term need to know</u>
whether or not the implementation of APDP is heading in the right
direction, is making appropriate progress, and is taking root. In
a word, management needs short term indicators with which to <u>monitor</u>
the implementation of APDP and thereby make valid short term
modifications either of the design or of the implementation process.

We are suggesting here, then, that appropriate evaluation of APDP's
impact to-date would be based on indications that: appropriate and
adequate <u>transition</u> is occurring (not whether the transition has been
completed); that short term, incremental impacts are <u>consistent</u> with
APDP philosophy and are providing a proper <u>base</u> for building
more long term, major impacts; that there is increased <u>staff awareness</u>
<u>of and ability to respond to</u> significant program development issues
and problems.

CONTINUED

1 OF 5

Overall, then, the current short term impacts of APDP need to be evaluated in terms of the extent to which they have provided a base and momentum for the next steps of implementation and for long term major impacts.

3. An Overall Evaluation: Reasonable and Appropriate Impacts

It is our overall conclusion that the short term impacts of APDP have been significant, have been in the appropriate direction, and have generally been what should reasonably have been expected at this point in time. At the same time, there are significant issues which should be dealt with in the next stages of implementation.

It is our evaluation that the current implementation of APDP has been a necessary and appropriate first step in the development of integrated Agency-wide program development and policy planning processes — and that what is needed now are efforts to take the next steps. These efforts should be rather intensive. Otherwise, it would be our expectation that forward momentum will level off and, quite possibly, much of what has been gained will begin to dissipate. These further efforts should be a building upon what has already been established.

4. Gradual Normalization of a New Mode of Program Development

Since APDP does represent a new mode of program development in LEAA and since APDP is still in its early stages of institutionalization, it is not to be expected that APDP would have yet become fully operational within LEAA. However, by now it is reasonable to expect to find signs of a gradual normalization of this new way of doing things and the creation of a base of understanding and behavior that would, over time, permit institutionalization of the new process.

There are indeed numerous signs that such gradual normalization has been taking place. In part, this is reflected by staff perceptions of APDP impacts, as discussed below. Just as significant is the fact that LEAA personnel can understand questions about APDP, make sensible and probing responses to such questions, raise appropriate and probing

program development issues and use the language of APDP appropriately. Finally, the gradual normalization of APDP can be seen in the strong staff agreement with questionnaire items stating that APDP is relevant to their jobs (72.4%) and that the basic concepts of APDP make sense (88.1%).[*]

5. Programmatic Impacts

Our questionnaire included several questions designed to determine whether or not APDP has begun to affect the nature of programs developed by LEAA.

A. Use of Research, Testing and Evaluation in Action Program Development

One of the major purposes of APDP is to increase the use of research, testing and evaluation in the development of programs.

In response to three questionnaire items,[**] LEAA staff indicated an increase in the extent to which research, testing and evaluation findings are being used: (a) to develop new programs (48.6%); (b) to modify ongoing programs (33.0%); and (c) to discontinue existing programs (17.6%).

As the above responses indicate, LEAA staff do believe that research, testing and evaluation have more impact on action programs than before the implementation of APDP. It is to be noted that LEAA staff perceive research, testing and evaluation as having significantly less impact on existing programs than on new programs. This is to be expected in the early stages

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[*] A full listing of questionnaire items and responses is contained in the Appendix.

[**] Respondents were provided a descriptive statement and then asked to check one of the following responses: "Much More", "More", "The Same", "Less", "Lots Less".

of transition to APDP -- it may not be such a simple matter to
modify or discontinue an ongoing program.

That some modification of existing programs has evidently occurred
is a positive indicator of APDP's impact. At the same time,
precisely because a program does create its own momentum, special
attention will need to be given (both currently and on an ongoing
basis) to ensure that programs-in-process can and will be re-
examined whenever there are new research, testing and evaluation
findings.

Overall, the nature and level of impact in the above areas is what
one would reasonably expect at this stage of APDP implementation.

B. Impact on Block Fund Usage

We have earlier noted the nature of and difficulties related to block
funds. The use of APDP could be significant in this regard.

The underlying assumption linking APDP to block fund usage is that
State and local users may be more influenced to acquire LEAA
programs with their block funds if testing and evaluation have
demonstrated the effectiveness of LEAA programs. Of the res-
pondents to the questionnaire, only 23.7% perceived an impact of APDP
on block fund usage. A low perceived impact here is to be expected
at the current time -- i.e., until there has been sufficient time
for APDP to be applied to most LEAA programs and for the results of
testing and evaluation to be communicated to and considered by
State and local users.

This questionnaire item, therefore, serves two purposes. First, it
provides baseline data with which to compare perceived impact on
block fund usage at a later time. Second, it provides a check for
positive bias of respondents.

6. Process Impacts

The questionnaire included several items designed to permit evaluation of
the extent to which the implementation of APDP has affected the process
of program development.

A. Interaction Among Offices and Staff

The use of APDP requires a significant amount of interaction among
staff and across Offices.

In response to questionnaire items, respondents indicated an increased
level of participation of evaluation staff in the design of test
programs (52.7%) and in the design of demonstration programs (45.6%).
This is an important aspect of APDP. The involvement of evaluation
staff in the early design stages of a program increases the chances
of obtaining useful information from a test or demonstration.

With respect specifically to cross-Office interaction, 53.8% of the
respondents to the questionnaire indicated that in general, there
is now more or much more interaction among staff of different
Offices. At the same time, however, in response to a questionnaire
item about a specific type of interaction, only 30.3% of the
respondents perceived increased participation of action program
staff in the design of test programs by research offices.
Similarly, only 20.4% of the respondents perceived an increase of
action program staff involvement in the selection of topics for
program design and testing.

We would anticipate these findings at this stage in the imple-
mentation of APDP. APDP should result in a significant degree
of inter-Office interaction. At the same time, institutional-
ization of inter-Office interaction is more of a long-term than
a short-term process. Thus, one would currently expect to find
more perceived interaction at a general than a specific level --

especially where the interaction involves issues and questions of Office roles. At the same time, the responses to the more specific questions do indicate that continued attention should be given to the development of interaction across the research and action Offices.

B. Consideration of Alternative Approaches

A significant aspect of a total program selection and development process includes consideration of alternative approaches to the solution of a problem. In response to a qustionnaire item, only 28.2% of the respondents perceived an increase in systematic consideration of "alternative approaches to solving criminal justice problems." While this is a lower positive response than we believe to be desirable, the response is not unexpected.

In summary, the impacts of APDP to date are of the nature and level one could reasonably expect at this point in time. The indicators are encouraging in that they suggest that there is forward momentum and that a proper foundation is being put in place for continuing implementation and elaboration of APDP. At the same time, it is also obvious that (as we would expect) APDP is not yet fully institutionalized and that further planned and systematic implementation is in order.

II. APDP IMPLEMENTATION PROCESSES AND ISSUES

When any major new process is introduced into an organization, three aspects of its implementation need to be given careful consideration:

1) factors which may tend to affect implementation of the new process;
2) the process of implementation; and
3) concerns and issues which come to light during implementation.

It is to these aspects of the implementation of APDP to which we now turn our attention.

1. Some Important Factors Affecting Implementation

The implementation of APDP faced a number of significant difficulties which can be noted here.

A. Dynamics of an Implementation Process

During the implementation of a new process, one could expect to find problems of transition such as: confusion about how "new" behaviors and terminology relate to "old" behaviors and terminology; problems of retrofitting; possible anxiety and resistance in relation to such matters as the effort involved in learning and unlearning, implications for individual and departmental roles, etc. These transition issues would tend to be augmented by the complexity of APDP and the importance of program development within LEAA.

Relatedly, implementation and ongoing institutionalization of APDP is not a short term process. Rather, a gradual, foundation-building, phased process of implementation is required. This poses potential problems of personnel having unrealistic short

term expectations which, when not met, can lead to a "plateau"
effect and/or to frustration and disillusionment.

B. The Nature of APDP

Some aspects of the nature and design of APDP would tend to hinder
somewhat the implementation of APDP.

APDP is a relatively sophisticated and complex management process.
Further, APDP involves policy planning issues as well as program
development issues. Finally, the very nature of APDP implies that
it interacts with other LEAA management processes such as MBO and
budgetting. Thus, "learning" APDP would be no simple task for
either LEAA staff or management -- even under the best of conditions
and with the most well-planned implementation process.

While APDP is an essentially sound and appropriate process for pro-
gram development, inadequate elaboration of some aspects of the
APDP design presents a degree of uncertainty and confusion which
affects implementation of APDP. This is especially true with res-
pect to what we see to be a need to further differentiate the policy
level and program development aspects of the APDP design.

C.   Insuring Integration and Coordination

As we noted earlier, integration and coordination are central
management issues. APDP involves and is designed to facilitate
integration across Offices and programatic activities. How-
ever, APDP by itself cannot ensure or enforce integration and
coordination.

An important distinction must be made here. The power of APDP
to facilitate coordination and integration resides in the logic
of APDP in relation to the degree LEAA perceives a need for co-
ordination and integration. At the same time, APDP itself has
no formal authority or power to ensure or enforce coordination
and integration.

D.   LEAA Dynamics

Finally, it should be noted that some dynamics of LEAA, not di-
rectly related to APDP, could not help but have some impact on
APDP implementation. These would include changes in the position
of Director/Acting Director of LEAA during the period of APDP's
devlopment and implementation; the possibility that LEAA might be
rather drastically reorganized by Congressional legislation;
changes included in LEAA's current re-authorization legislation;
the discontinuing of the regional structures. At the very least,
these dynamics would tend to divert management attention from
APDP implementation.

2. The Process of Implementation -- A Comprehensive Perspective

A well-developed, comprehensive plan of action is important for the
implementation for a major and complex new process such as APDP --
especially given the difficulties noted above. Such an implementation
plan :

1) Should be built upon a set of guiding principles;
2) Should specify the steps and phases of the implementation
    process -- and the purposes and objectives of each step
    and phase;
3) Should specify the types of activities which are needed to
    accomplish specific objectives and are appropriate for
    specific steps and phases;
4) Should specify roles and responsibilities for implementation,
    including the role of management;
5) Should provide appropriate communication;
6) Should provide for the integration of the new process with
    other existing organizational processes (such as MBO and
    budgetting).

It is clear that LEAA has used a variety of activities and mechanisms
to facilitate the implementation of APDP -- and that these are
activities and mechanisms which relate to the points just noted. At
the same time, it is our observation that LEAA has not developed the
kind of comprehensive, phased implementation plan which is described
above and which we believe to be necessary to obtain the full benefits
of APDP implementation.

We now turn to look at some of the specific aspects of the APDP implementation process.

A. Strategies for Implementation

A significant part of LEAA's implementation strategy centered around: (1) the issuance of APDP instructions; and (2) a training program built around these instructions and involving all LEAA Offices during 1977-78.

The instructions and training sessions have had a very positive consciousness-raising impact -- i.e., staff have become aware (and supportive) of the basic concepts of APDP and have been enabled to ask meaningful questions about APDP. At the same time, it is our observation that the original training sessions were overly ambitious in the sense that:

1) Given the sophistication and complexity of APDP, we would hesitate to expect trainees to absorb so much material in 2½ days of training.

2) Similarly, in addition to basic training objectives, the training sessions seemed to have such other purposes as selling APDP and obtaining staff recommendations for revisions to the instructions. While these are all necessary implementation purposes, it seems to us that they tend to further overload a 2½-day training session.

While the instructions and training sessions may validly be seen as an important implementation strategy, it is also true that LEAA utilized a number of other implementation strategies. These would include: (1) the use or creation of various coordination mechanisms* (some of which are suggested in the APDP instructions);

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*We recognize that to varying degrees, the different coordination mechanisms would not solely be the result of or used in relation to APDP per se.

(2) the use of APDP terms and concepts in developing D.F. guidelines and decision memos; (3) efforts to relate APDP to LEAA program activity by trying to classify current activities into APDP categories, by staff asking (and being asked) APDP-inspired questions; (4) efforts to relate APDP to other LEAA processes (such as MBO, budgetting).

We consider the above strategies to be quite valid and useful as far as they went. They would be more effective if used as part of a comprehensive, systematic implementation plan, and if used consistently across time, programs and Offices.

B. Top Management Roles

Implementation of a new procedure is often seen as a responsibility to be delegated to staff personnel -- and indeed the training aspects of APDP implementation were the responsibility of the training staff.

At the same time, careful consideration must be given to the implementation roles of top management -- especially when the new process: (a) is major in scope and impact; and (b) affects other management processes.

a. Top Management Commitment

Implementation of a major new process requires the commitment of top management to ensure cooperation and compliance; to provide necessary resources; to use appropriate behaviors in relation to staff (e.g.: requiring staff to justify a program activity in terms of problem definition); etc. Further, this commitment must be visible to staff.

A majority of LEAA staff (60.5%) responding to the questionnaire do perceive top management as committed to

APDP, and a slightly higher proportion (65.5%) specifically
see their own boss committed to APDP. While it is reassuring
that a majority of respondents do have this perception, we
are somewhat concerned that after two years of implementa-
tion, the proportion of positive responses is not higher.

b. Creating a Need for APDP

It is, in our opinion, primarily management's responsibility
(at all levels of management) to create the need for staff to
use APDP. This may be accomplished on a day-to-day basis
through such behaviors as Office heads asking APDP-relevant
questions of program managers; requiring program managers to
do ex-post facto analyses and justifications of existing pro-
grams; requiring specification of indicators of program effec-
tiveness; and the like.

Relatedly, top management can create a need for APDP among
staff by clearly relating the use of APDP to LEAA's reward
system. This can be done in such ways as: integrating MBO
with APDP; making budget allocation dependent upon the use of
APDP. Obviously, approval of such actions lies within the
domain of top management.

The use of an organization's reward system is very important.
The implementation of major new organizational procedures gen-
erally requires that organizational personnel make signifi-
cent behavioral changes in terms of how they perform their
tasks, where they place priorities, how they interrelate
with each other, etc. When the organization continues
to reward old and does not reward new behaviors, organization
personnel are given conflicting messages about the importance
of the new procedure and about how they should respond to it.
In this situation, the result tends to be the continuance of
previous rather than the institutionalizaton of new behaviors.

A number of LEAA staff commented (during training and in
the questionnaire) that their use or non-use of APDP has not
been related to their job or professional rewards (or
penalties). Others commented that pressure to "spend
the money" (rather than APDP) was the driving force be-
hind their behavior.

c. Key Decisions

Perhaps most importantly, there are several key decisions
which, in our opinion, have not yet and must be made if APDP
is to be successfully implemented. These decisions concern
matters of LEAA's mission, organizational structures, top
management leadership and decision making processes, manage-
ment commitment to APDP, and external relations -- as will be
discussed more fully in the Part Nine discussion of our im-
plementation recommendations.

C. Force Fitting of Existing Programs into APDP Terminology

Both management and staff personnel of LEAA noted that in part,
APDP implementation seemed merely to be using APDP terms to des-
cribe existing activities -- and we did observe such behavior.
As discussed by LEAA staff, the implication seemed to be that
this lacks substance and is, for practical purposes, a matter
of game playing.

If indeed the implementation of APDP were to go no further
than giving new names to existing processes, activities and
structure, the real purpose of APDP would of course be thwarted.
However, we do not feel that this practice currently represents
a cause for alarm. In the first place, such "force fitting"
of new terminology is neither uncommon nor necessarily dysfunc-
tional during the early, transitional stages of change from
existing to new procedures. Rather, it seems to be a helpful

first step in relating new to old procedures. In the second place, we have found significant indications that the substance of APDP is beginning to take hold -- as we noted earlier.

We do not, of course, suggest that this practice be ignored -- the continuance of this practice 12 to 18 months from now would be cause for concern. Rather we think that the kind of comprehensive, second phase implementation suggested in Part Nine of this report will enable LEAA to move beyond such "force-fitting" practices.

3. Concerns and Issues

As we noted at the beginning of this section, the initial implementation of a new process often brings to light significant issues or concerns relevant to the process of implementation, the design of the new process and/or other aspects of the organization with which the new process interacts. Some of the concerns and issues which are noted below are discussed elsewhere in this report and will thus be only briefly noted here.

A. A First Phase of Implementation

In our discussion with LEAA top management, it was noted that the APDP implementation process was intended to be a gradual process (especially in terms of enforcing its use), with initial emphasis being on consciousness-raising and developing a good understanding of APDP and of new, APDP-type ways of thinking about program development.

We are essentially in agreement with this concept of gradual introduction, transition and institutionalization. In this regard, a few observations are in order.

First, it is our opinion that the implementation of APDP to date should be seen as a first phase of implementation -- the primary objectives of which are to introduce APDP within LEAA and to build a sound base for institutionalization of APDP. It is our opinion that the implementation of APDP has generally provided such a base -- and indeed permits LEAA to begin a second phase of implementation and to build even further upon the APDP philosophy and design.

Second, it is typically the case that after a while, initial efforts at implementation tend to "plateau" at a level where: (1) there is still a sufficient amount of confusion and perceived shortcomings to create backward momentum if new, reinforcing implementation activities are not initiated; but also where (2) second and third phase implementation activities can lead to important refinements in the new process and to acceptance and institutionalization. Our recommendaton in this regard are contained in Parts Six and Seven of this report.

B. A Degree of Confusion

While expressing support for the basic concepts of APDP, LEAA staff have expressed varying degrees of confusion about some aspects of APDP. These areas primarily concern such matters as: the roles of the various Offices in the APDP process (e.g.: 60% of the respondents to the CISST questionnaire disagreed with a statement that Office roles in APDP are defined and understood; how APDP fits in with other LEAA management and planning processes (e.g.: some staff felt APDP should replace MBO while others thought it had no relation to MBO); issues of coordination, especially between Offices; particular aspects of the APDP design; and the relation between APDP as a program development process and the processes by which program selection decisions are made.

Since these concerns are dealt with in other sections of this report, we will not comment on them here. Rather, the point to be made now is simply that these <u>are</u> concerns which have come to light during implementation and do need to be examined closely by LEAA.

C. The Need for Congruency

The concerns noted above do point to one aspect of APDP which is worth further comment. Because APDP is so highly interrelated with other major LEAA management processes -- especially MBO, budgeting and policy planning -- the design and implementation of APDP must be congruent with these other LEAA management processes and (as we will discuss in Part Nine) with LEAA's mission, structure and top management leadership processes.

We recognize that there have been a number of efforts by LEAA to develop such congruency, but it is our evaluation that this congruency needs to be more comprehensively and systematically designed and implemented -- and that developing this congruency should <u>and</u> <u>can</u> be a major objective in the second phase of APDP implementation.

III. THE APDP DESIGN

The design of the APDP especially with respect to program development is sound and appropriate -- in terms of its intended purposes, its basic structure, <u>and</u> its appropriateness to the needs and directions of LEAA. Its basic program <u>development</u> steps (Steps Four through Seven) deal with most of the activities necessary in a coherent innovation process. Further, it is our evaluation that while some further elaboration is needed, the APDP design provides an appropriate and sufficient base upon which LEAA can take important "next steps" in building effective policy planning and program development processes.

Because it is our evaluation that APDP design is essentially sound, we have not felt it necessary in this project to consider other alternative designs or processes for program development. Rather the analysis of the APDP design which follows and our recommendations in Parts Six and Seven are efforts to build upon what LEAA has already established.

We may further note that staff responses tend to agree with and support this evaluation. For example, a large majority (88.1%) of respondents to the questionnaire thought that "the basic concepts of APDP make sense." This is one of the strongest positive indicators of the basic soundness of the APDP design. At the same time, 50.4% of the staff respondents agreed that "the APDP instruction needs revision."

With the above understanding, we will in this section note several areas where further clarification, refinement and elaboration of the design will be useful. These areas primarily involve consideration of:

1) the scope of APDP
2) distinguishing policy planning from program development
3) elaboration of program development

In addition, two other areas where further clarification might prove useful concern:

  4) types of research
  5) types of evaluation

1. The Scope of APDP

One of the issues posed most frequently by LEAA staff concerned the scope of APDP -- i.e., to what LEAA activities does APDP apply. Some staff believed that APDP did not apply to their activities. Other staff posed such questions as whether APDP applied only to certain selected programs or to all programs; whether APDP applied to such activities as basic research or the seeking of changes in legislation; whether APDP applied only to new programs or was to be applied retroactively to existing programs.

To a degree, this type of staff uncertainty may be attributed to the uncertainties inherent in a transition process. However, we think that there are more significant issues involved:

1) A significant source of staff confusion about the scope of APDP would seem to us to stem from a need to differentiate those steps of the APDP design which focus on the <u>development of a single program</u> (Steps Four through Seven) from those steps which seem to be oriented more broadly towards <u>policy planning</u> (Steps One, Two and Three). Thus, all LEAA activities would fall within the domain of policy planning. However, with regard to <u>staff implementation</u> of policy level decisions, only some of LEAA's activities would fall within the domain of program development.

2) The issue of scope is in part a definitional issue. We will later suggest a principle of exclusion as a means of de-

fining which LEAA activities are to be considered "programs" (for purposes of inclusion in a distinct and separate "program development" process).

3) Finally, the issue of scope is also an implementation issue -- ie., it is a matter of management decision whether all or only some of the already existing programs would be retrofitted into APDP.

Thus, staff confusion about the scope of APDP stems from several sources. It is our view that a significant source of this confusion stems from the need for further elaboration of the APDP design.

2. Distinguishing Policy Planning from Program Development

In reviewing the APDP design, we noted that the scope of the first three steps of APDP (Policy Planning, Problem Definition and Selection or Response Strategy) is much broader than the development of a single program. More specifically, the first three APDP steps:

1) are relevant to a much wider range of LEAA activities than program development alone;

2) involve Agency policy considerations;

3) Specifically in relation to program development, focus on program <u>selection</u> decisions which are made <u>prior</u> to the actual development of the program itself.

In all of the above respects, the first three steps of APDP involve top management decisions and involve a much more complex set of activities than is indicated in the APDP instructions.

Further, in reviewing the training tapes and responses to open-ended questions on our questionnaire, we noted a constant theme from LEAA

staff that they did not really understand the "front end" of APDP. Comments such as "I don't see what drives the process" and "How does a decision get made to do a program?" were typical of staff responses.

This review of the APDP design and of staff responses leads us to note that a lack of clear distinction between policy planning and program development processes has been a major obstacle for the implementation of APDP. This review also leads us to recommend that LEAA develop clearly distinct yet clearly integrated processes for policy planning and program development. Because of its significance, policy planning will be discussed separately in Part Four of this report. Our specific recommendations for developing distinct yet integrated policy planning and program development models are then presented in Parts Six and Seven of this report.

3. Elaboration of Program Development

Steps Four through Seven of APDP deal with program development per se -- i.e., the activities required after a decision has been made to select and develop a program (in Steps One through Three of APDP).

We note here that Steps Four through Seven of APDP do represent most of the important activities required in the development and delivery aspects of an innovation process. Thus, the possible need for revisions in these steps should be seen as a matter of refinement.

At the same time, our study also noted that some aspects of these four program-specific steps did not seem clear to LEAA staff -- for example, with respect to: staff difficulties in knowing whether to classify what they were doing as a "test" or a "demonstration;" the proliferation of the concepts of level one and level two demonstrations: confusion over what seemed to be missing steps (such as the development of a program package).

We recognize that to some extent, staff confusion about these aspects of the APDP design could stem in part from the dynamics of transition -- i.e., trying to learn the terminology, practices and processes of a new mode of program development; to use these for new programs; and at the same time to "retrofit" them to programs developed in different ways. Certainly, one would expect here a degree of initial confusion.

However, it is our evaluation that steps Four through Seven of APDP do need some further elaboration. In particular:

1) At some points, there is an insufficient differentiation of activities. Step Five of APDP (Testing) interweaves two types of testing which have different functions (prototype testing and field testing), and which involve different types of evaluation (formative and summative, respectively). In our view, further differentiation is needed between field testing, demonstration and marketing activities.

We recognize, of course, that for some programs, overlap across steps may be permissible -- or even a practical or political necessity. It is our position that such overlap should be seen as just that -- an exception made as a conscious decision based on specified reasons.

2) It is our view that program packaging and utilizing active assistance should be incorporated as separate, specific steps of a program development process.

3) At several points, Steps Four through Seven of APDP need further elaboration in order to provide more focus, clarification and visibility to the activities required to accomplish each step.

In Part Seven of this report, we will recommend and discuss an ela-
borated model for program development which builds upon and
refines Steps Four through Seven of APDP and which is integrated
with a basic policy planning process. Here, we will briefly review
Steps Four through Seven of APDP and indicate where refinements or
new separate steps will be recommended.

APDP STEP FOUR -- PROGRAM DESIGN

This step seems to be well stated for the most part. We agree that
it is the first step of the program development process -- <u>following</u>
the policy decision to develop a program in response to a priority
issue. We agree that <u>evaluation</u> is to be addressed in this step,
but we suggest a more focused look at evaluation and the emphasizing
of summative (impact oriented) evaluation for this step.

The need for a program development <u>plan</u> is more or less recognized
in APDP, but is awkwardly placed as <u>part</u> of the Program Design step.
It is our position that a comprehensive plan for the program develop-
ment process must be <u>prepared</u> <u>and</u> <u>approved</u> before the Program Design
step is begun.* Program Design is then limited to the actual design
of the program and becomes Step One of our recommended program
development process.

APDP STEP FIVE -- TESTING

LEAA staff indicated confusion about the testing step of APDP. We
are recommending that there be <u>two</u> testing steps <u>for the purpose</u> of
making a clear-cut distinction concerning two different purposes of
and types of evaluation used in the testing of a program design.

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* In Part Six, we will recommend that the development and approval
of an action plan should be a distinct step in a separate policy
planning process.

<u>First</u>, testing may be needed to "work out the bugs" of a program
design -- i.e., in order to <u>modify or refine</u> the program design <u>before</u>
it is finalized. For this purpose, <u>formative evaluation</u> would be used,
and the concern is with process more than end results. This type of
testing is typically called <u>prototype testing</u>.

<u>Second</u>, testing may be needed to validate the <u>effectiveness</u> of the
program design (specifically in terms of desired <u>end results</u>) and its
generalizability across some set of organizations and/or situations.
For this purpose <u>summative evaluation</u> would be used. This type of
testing is typically called <u>field testing</u>.

Some comments must be made here. In the first place, the reasons for
suggesting two separate steps are to: 1) highlight and clarify the
differences in purposes and types of evaluation; 2) to ensure that
the <u>needs</u> for modification and for end result validation are taken
into consideration; and 3) to recognize that modifications of a
program design (a valid purpose of formative evaluation) would call
into question the findings and conclusions of a summative evaluation.

In the second place, the above implies that our concern is with the
<u>purposes</u> involved. Thus, whether different terms are used or whether
there is one testing step with two sub-steps is not a major issue.
Also, there may be valid reasons for skipping either or both steps --
as when there is previous research/testing (by LEAA or others); when
there is strong urgency to "get the program into the field"; when
costs would outweigh benefits; etc. In these cases, the two steps
would serve the purpose of forcing the Agency to document the reasons
for skipping testing <u>and</u> the potential limitations/consequences of
doing so.

In the third place, needed prototype testing may have been part of
previous LEAA research.

In the fourth place, we recognize that the term "prototype testing" may call forth an "industrial" or "engineering" image of large scale, high cost models. This is not intended, and we believe would generally be inaccurate and inappropriate for LEAA programs. Thus, though the term is descriptively valid, a different term might be better. At the same time, there may be occasions where prototype testing would be expensive -- and might have to be skipped for that reason, so long as the limitations/consequences are recognized.

NEW STEP -- PROGRAM PACKAGING

LEAA staff have raised questions about where in the APDP process a program is "packaged" -- i.e., put in the form in which it will be demonstrated and marketed for use by State and local agencies. It is our position that program packaging activities are sufficiently distinct to warrant being considered a specific and separate step in a program development process. This, we believe, will facilitate assigning specific responsibilities for these activities and hopefully would eliminate some of the "hands-off" issues noted by LEAA staff (e.g.: between NILECJ and OCJP in relation to incentive fund programs). Of course, other descriptive materials for information and marketing purposes could be developed at various steps of program development.

APDP STEP SIX -- DEMONSTRATION

LEAA staff have attempted to clarify this step of APDP by noting a distinction between "level one" and "level two" demonstrations. Some further explication of this step, which is provided in Part Seven of this report, along with the delineation of two separate testing steps, should be sufficient clarification of the demonstration step of program development.

APDP STEP SEVEN -- MARKETING

In Part Five of this report, the marketing step will be discussed much the same as it currently is described in the APDP instructions, with some further explication of alternatives.

NEW STEP -- UTILIZATION ASSISTANCE

The marketing step takes program development to the point where a user agency adopts a program that has been developed by LEAA.

It has been our experience with both public and private agencies that users often require assistance after the initial period of implementation in order to insure sustained, long-term use of a new program (or product). It has also been our experience that especially with regard to public agencies, this kind of utilization assistance tends to be neglected -- too often with the result that a well-marketed program is adopted but does not reach a state of sustained and effective usage, and too often leading to bad public images for a program and negative marketing impacts. Thus, our experience indicates the practical wisdom of having a distinct step of utilization assistance.

4. Types of Research Activities

Staff at LEAA have indicated that to some degree communication problems have arisen around the term "research." This seems to us to stem primarily from the fact that various LEAA research activities have somewhat different focal concerns.

Since a large portion of LEAA's research is of an applied research nature* (i.e., oriented towards some specific criminal justice issue or problem), we think it might be helpful for LEAA to distinguish between three types of applied research -- each of which may be relevant research concerns of LEAA:

1) Problem Definition Research

Here, research is concerned with defining:

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*Our concern in this project focuses simply on those areas of LEAA research activity which are problem-oriented (i.e., applied research) -- and which may thus lead to or be a part of program selection and program development processes. Thus, we do not attempt to examine LEAA's involvement in basic research, except to note that such basic research would be within the domain of policy planning but not of program development.

**As we note elsewhere, any of LEAA's general activities (program development, financial or technical assistance, etc.) may be selected by LEAA as a strategy response to a problem or issue.

a) the _nature_ of the problem (i.e., what is or is not to be considered as part of the problem, its location in the system, etc.); and

b) the _extent_ of the problem (i.e., how often it occurs, how widespread it is, the degree of harm or cost to individuals or society)

Research which focuses on more clearly defining an issue or problem can provide significant inputs to policy planning. For example, this type of research can: suggest issues and/or strategies; help LEAA decide whether a particular problem is to be designated as a priority issue; facilitate the setting of goals and standards of effectiveness for any strategies** to be developed by LEAA.

One further comment about terminology is in order here. For sake of simplicity we use the term "problem" throughout this report. However, we emphasize that we use the term _broadly_ to include _issues_ and _opportunities_ -- as well as the more negative connotation of something wrong to be corrected.

2) Cause Focused Research

The purpose of this research is to determine _why_ a problem exists -- i.e., what factors cause, permit or augment the problem.

3) Solution Focused Research

The purpose of this research is to identify actions which might be taken to alleviate or stop the problem, and to determine which solution is the most promising.

Our concern here is not to suggest that this is the only way research can be categorized.* Nor are we suggesting that these three types of applied (problem oriented) research are "pure types" or are absolutely distinct in practice -- indeed they are interrelated: they can occur together, and they may be very iterative. Rather, it is our perception that since LEAA's research activities do have these different focal concerns, specifications of these types of problem-oriented research might be very helpful as a tool for communication purposes -- as well as helping to focus LEAA's research activities.

In a similar vein, it may be helpful to make a clear distinction between:

a) a _state-of-the-art review_ -- which seeks to determine what information or knowledge is _already available_;

b) a _synthesis_ of existing knowledge -- which seeks to take already available information and _combine_ it into a summary form _or_ to suggest implications which are not obvious when different bits of knowledge are viewed separately;**

c) _research_ -- which seeks _new_ data, theory, conclusions, etc. when the existing knowledge base is incomplete, inadequate or unproven.

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*We fully recognize that the literature suggests _many_ ways to sub-divide or create a "research typology." However, we suggest these because they appear to fit the types of research done by LEAA.

**Recent theory has emphasized that knowledge syntheses involves more than just reducing quantity of information, but also must be directed towards specified objectives of the _user_ of the synthesis. See for example: Rich (1977) in Radnor, Hofler and Rich (1977).

Again, we note that these are interrelated and interactive. It is, however, our observation that some of the confusion of LEAA staff over the use of the term "research" stems from the use of this term for all of the above items -- and that the distinction might thus be a valuable communication tool.

5. Types of Evaluation

As with the term "research", LEAA staff have indicated some degree of communication problems around the term "evaluation". It may be helpful here to make a few comments on evaluation as it relates to APDP and to our recommendations in Part Seven.

It is standard practice to make a distinction between formative and summative evaluation. <u>Formative evaluation</u> seeks to identify ways in which a program may (or needs to be) modified. Its function or purpose is thus of a <u>corrective</u> nature -- and comparison of end-results across a series of tests is not a primary concern per se. <u>Summative evaluation</u>, on the other hand, specifically focuses on the <u>end results</u> in order to establish the internal and external validity of the program. Thus a significant difference in these two basic types of evaluation is that formative evaluation encourages (as needed) modification in program design, while modification in program design would tend to weaken the findings of summative evaluation.

This distinction is not some "new" concept for LEAA evaluation staff. Rather, the following points are more salient here.

Both types of evaluation are used by LEAA in relation to programs -- but it <u>is</u> important to note clearly where and how each is used in specific program development steps.

Formative evaluation would be used primarily in the Prototype Testing step noted earlier. Summative evaluation, on the other hand, would be used:

1) by LEAA during the field testing of a program -- to ensure the effectiveness of a program before it is "packaged" for delivery to local agency users;

2) by individual user organizations -- as a basis for their own evaluation of the value of an LEAA-developed program they are using; and

3) by LEAA -- to determine the effectiveness of a developed program after it has been marketed.

A summative evaluation plan (including specification both of evaluation methodologies to be used and of criteria for assessing program utilization) should be built in a program design. This provides a means for integrating programmatic activities of user organizations and the policy/program processes of LEAA.

In light of the above points and of the confusion expressed by LEAA staff, it becomes especially important that: (1) LEAA's program development and policy planning processes clearly distinguish between and specify the usage of formative and summative evaluation; and (2) that this be clearly communicated to LEAA staff.

6. Management Processes for Other LEAA Activities

As has already been noted, all of LEAA's activities are within the
domain of the Agency's policy planning process. Once needed and
appropriate policy level decisions have been made, consideration
must be given to processes for managing staff implementation of
policy decisions. The Agency's program development process serves
this purpose in relation to the development of programs. At the
same time, LEAA has other general activities which are outside the
domain of any model for program development. However, we do make
the comment that many of the principles underlying the process for
managing program development would likely be relevant for the
management of LEAA's other general activities. It would be our
recommendation, therefore, that LEAA: (1) consider the relevance
of the principles of program development (as discussed in this
report) for the management of LEAA's other general activities;
and (2) as relevant, develop similar management processes for these
other general activities -- but specifically tailored to the needs
and requirements of each general activity. We will return to the
point in Part Ten.

IV. RECOMMENDATIONS

Based upon the above assessment of the impact, implementation pro-
cesses and design of APDP, we make the following general recom-
mendations to LEAA:*

1) That Steps Four through Seven of APDP be elaborated in order
to:

   a) establish Prototype Testing and Field Testing as dis-
   tinct steps;

   b) add the specific steps of Program Packaging and Utili-
   zation;

   c) further refine aspects of each step of LEAA's program
   development process.

The detailed specifications for this recommendation are
provided in Part Six of this report.

Further, as will be recommended in Part Four, this implies
the creation of distinct yet integrated policy planning and
program development processes.

2) That LEAA initiate a Phase Two implementation of its pro-
gram development process that would:

   a) implement the above recommendation;

   b) be based upon a systematic and comprehensive implement-
   ation plan;

   c) focus on creating a need for staff to have and use LEAA's

* These will be expanded upon in later parts of this report.

program development process;

    d) focus on relating LEAA's program developmnet process
        to LEAA's budgetting, MBO and policy planning processes.

3) That LEAA <u>develop a systematic and comprehensive Phase Two im-</u>
    <u>plementation plan</u> for its program development process that
    would specify:

    a) the steps, stages, and time lines of implementation;

    b) the purposes, objectives and activities for each step and
        stage;

    c) specific roles and responsibilities for top management,
        planning and training staff, and other LEAA staff personnel.

    d) critical management decisions to be made;

    e) criteria and methods for evaluation of the Phase Two
        implementation.

4) That as part of the key top management decisions noted above,
    LEAA determine what structural and/or management leadership
    processes and mechanisms will be used to ensure coordination
    of LEAA's program development activities.

5) That as relevant for LEAA's other general activities,
    LEAA develop management processes similar to its program
    development process but specifically tailored to the manage-
    ment needs of these different general activities.

PART FOUR

POLICY PROCESSES IN RELATION TO PROGRAM
DEVELOPMENT PROCESSES

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During our review of the APDP design and implementation, we early recognized that policy level concerns were interacting with program development concerns -- and that this interaction appeared to be the source of some staff confusion about APDP. Staff, for example, were asking questions about how programs got selected and about "what drives the process". Further, examination of the first three steps of APDP (Policy Planning, Problem Definition, and Selection of Response Strategy) indicated that these were oriented more towards policy level planning than to program development per se. When we reviewed these concerns with LEAA staff and top management in several meetings, we were encouraged by management to pursue the issue of policy planning/program development further. This further analysis lead us to recommend the development of distinct and separate yet interrelated processes for policy planning and program development.

Part Four, then, will review the major considerations that have led us to recommend the policy planning process to be discussed in Part Five. We will highlight certain problems and design and implementation difficulties which may be overcome by features of the policy planning process being recommended.

The specific areas we will consider here are:

1) a review of the first three steps of APDP;

2) consideration of aspects of a comprehensive and systematic policy planning process;

3) staff understanding of LEAA policy planning, especially as this relates to their program development responsibilities under APDP ;

4) such other concerns as needs for communication and justification with LEAA's external publics; administrative leaderships changes; State and local inputs to LEAA :

The above areas do not, of course, constitute the totality of policy planning either in general or at LEAA. They have been selected for discussion here because of their specific relevance for program development and because we believe that further management attention in these areas would enable LEAA to make significant improvements in program development.

Before discussing the above areas, it will be helpful here to comment briefly on the perspective which has guided our analysis and the development of the recommendations in Parts Six and Seven.

To begin with, we note that the decision to develop a program is a policy decision. At the same time, policy planning is critical in determining not only the selection of programs to be developed but also in determining the very nature and adequacy of the organization's program development process. Processes for policy planning and the development of selected programs,therefore, must be both distinct and integrated -- by whatever mechanism this is accomplished.

Second, the difficult conditions noted in Part One (in particular the discontinuity resulting from relatively frequent changes in

structure and top leadership) make it quite difficult -- yet also even more important -- to develop adequate and appropriate policy planning processes and to maintain continuity in policy planning.

Third, it is our observation that the introduction of such organization-wide management processes as MBO and APDP indicates an awareness by LEAA of important policy and program management issues. In particular, we note that while APDP is designed as a program development process, the first three steps are essentially oriented towards policy planning issues.*

Fourth, it is also our conclusion that further developmental steps need to be taken if LEAA is to have a comprehensive, clearly articulated policy planning process:(1) which can provide coherent, balanced, integrated and articulated policy guidance for overall program development at LEAA; (2) which would permit LEAA management to better define and interrelate the roles and activities of the LEAA's research and action offices in relation to overall program development at LEAA; and (3) which would provide the guidance and flexibility as well as the creative environment needed for R&D and innovation -- while at the same time ensuring that innovations are brought into the basic management decision process at an appropriate stage, both to stimulate the policy planning process and to be evaluated by management.

Fifth, we remind the reader that we are concerned in this study with policy planning as an Agency-wide process.
Finally, we admit to a strong starting bias in favor of systematic

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*We do note that there are aspects of program development in these first three steps: we also note that these steps provide a role for research as an input to program development. This is valid, since we view program selection decisions as being policy level decisions.

policy planning. It has been our experience in a variety of
public and private organizations,* as well as the experience of
others (as noted in numerous studies) that the lack of an
adequate policy process weakens an organization in a number of
critical ways, both internally and externally. Program efforts
tend to scatter, to lose coordination,and to become dissaggregated.
In the absence of coherent objectives and plans, pressures for
results and the needs of survival force short term thinking,
sub-optimization, and so on. Program continuity is virtually
impossible to maintain in the face of relatively frequent management
changes. Staff become discouraged and confused by what seems to
them to be the arbitrary imposition of priorities (everything and
nothing becomes top priority) and arbitrary shifts in direction.
Planning becomes difficult -- essentially a game. Managers tend
to become involved in details and specifics as the only available
strategy for guidance and control. Programs become more difficult
to justify and defend to outside publics. The appropriate external
linkages are hard to maintain.

Since these are dynamics which confront all organizations (though
perhaps especially public organizations),our concern here is not
so much on whether LEAA has experienced such dynamics, but rather,
the emphasis in this report is on how such dynamics can best be
minimized for LEAA.

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*See Radnor, Spivak and Hofler (1977); Radnor and Hofler (1977).

I. THE FIRST THREE STEPS OF APDP AS POLICY LEVEL STEPS

Our review and analysis of the first three steps of APDP clearly
indicated that the scope of these activities (and very particularly
for the first step) was broader than the development of a single
program.

1. Issues of Scope

Steps Four through Seven of APDP (Program Design, Testing,
Demonstration and Marketing) are clearly related to the development
of a single program and presume a prior decision to develop a
program.

On the other hand, the first three steps of APDP seem to transcend
the discussion of the development of a single program. The functions
of Policy Planning, Problem Definition and Selection of Response
Strategies are, in our opinion, Agency-wide in scope.

Further, these policy-level activities could result in the selection
of some response strategy other than the development of a program
(e.g.: to hold a conference, testify before legislative committees,
do research, offer financial and technical assistance, etc.)

One further observation is in order here. As currently designed,
the first three steps of APDP provide a very strong role for research
in Problem Definition (Step II) and, to a somewhat lesser degree,
in Selection of Response Strategies. It is our evaluation that
this aspect of the current APDP design is valid in pointing to the
role of research in policy planning -- but that the nature of this
role is not sufficiently explicated precisely because the first

three steps of APDP are set within a purported _program_ development
process -- rather than separated out as a distinct policy planning
process. Thus, it is our view that research can -- and should -- be
an _important source_ of input _to_ policy planning for suggesting
priority issues, goals and strategies. At the same time, there
are other sources of input to policy planning.

2.   Activities and Complexity

Our analysis indicated that all of the steps in APDP contain
specific activities, except one: Policy Planning (Step One). This
lack of activities provided further confirmation that Step One is not
a step of a program development process. Further analysis also
suggested that there is a complex set of steps and activities
involved between the first step of policy planning and the point
where a specific response strategy is selected -- more complex than
is suggested in the first three steps of APDP.

We also note that while Steps Two and Three of APDP are primarily
oriented to policy planning, some aspects of these steps are
relevant to program development.

II.   COMPREHENSIVE AND SYSTEMATIC LEAA POLICY PLANNING

Recognizing the critical interrelationship between policy planning
and program development, we gave consideration to various aspects
of the process by which LEAA _as an_ Agency formulates its program-
relevant policies and priorities.[*]   Several observations are
relevant here.

First, until fairly recently, the decisions of each Office may
have been seen as having little real effect on the activities of
the other Offices. For example, NILECJ could research what it
believed to be appropriate to research and then market the results
as seemed appropriate. OCJP could offer those programs it deemed
best and make use of NILECJ's research as deemed appropriate by
OCJP. Thus the decisions of one Office would tend to have only a
small impact on the work of others and could therefore be made rela-
tively independently. We have some concerns with this type of decision
making in general, but under the conceptualization of LEAA as a
very loosely coupled federation of relatively independent units
joined mainly by an interest in a common subject, this type of
policy process for making program selection decisions may have been
seen as workable.

Second, there clearly are mechanisms used by LEAA that can serve
to provide some degree of program integration at the policy level.
There is an annual review process where programs are reviewed (ideas
for new programs; programs developed in-between annual reviews;
programs that were considered during the previous annual review).
This annual review also involves the development of work plans

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[*]We remind the reader that it was not our purpose to provide a
comprehensive study and evaluation of LEAA's policy planning processes.
Rather, our consideration of APDP as a program development process led
us to consider various aspects of LEAA's policy planning process.

and MBO. There is also a formalized Agency review and clearance process for any major major announcement, guideline, etc. Here, all Offices have a chance to make comments. However, it is to be noted that this review comes when announcements, etc., have already reached a "ready-to-use" stage. In the preparation stages, cross-Office interaction is essentially dependent on informal communication and top management meetings. Other policy-relevant mechanisms could be noted (e.g.: decision memos), and we note that various management and staff personnel indicated the use of policy planning processes within the various Offices.

While recognizing such processes as the above, it was our observation that the program-relevant policy processes which are used by top management appear to: (a) focus on solutions rather than on the problems*and priority issues; and (b) treat each solution separately instead of in relation to other "solution priorities."

In summary, it would seem that the fundamental policy planning process of LEAA (as described to us by top management) involves the head of an Office meeting with the Administrator on a one-to-one basis to make a decision about a specific recommended program. This approach has both inherent advantages and disadvantages. We would not in general recommend it, but we can see how it could have been viewed as being adequate.

Less evident is a unified, consistent, comprehensive, systematic LEAA process for formulating policies and priorities on an organization-wide basis (though we do note that APDP, along with some of the current mechanisms, are significant steps in this direction).

The importance of having such a comprehensive and systematic policy planning process should not be underestimated. We noted earlier in

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*For sake of simplicity in presentation, we use the single term "problems" broadly to include the concepts of issues and opportunities as well as the more negative connotation of a narrower use of the term "problem". Similarly, we use the single term "solution" broadly to refer to response strategies to issues, opportunities and/or problems.

this report that the very nature of LEAA's mission (impact-oriented, concerned with innovation) and its difficult context pose strong management challenges to LEAA. The management task is a difficult one. The absence of a comprehensive and systematic policy planning process which can set priorities and goals for LEAA makes the LEAA management task even more difficult.

The importance of such a process can be illustrated from several perspectives.

1. Providing for Integration

In Part Two, we discussed integration as a significant challenge for LEAA management from the perspective of the requirements of innovation processes and the nature of LEAA's federation-like structure. Here, we will note two ways in which a comprehensive, systematic policy planning process is needed to provide for integration specifically in relation to program development.

A. Cross-Office Integration of Research and Action

To the extent that LEAA seeks to base the Agency's programs on research, testing and evaluation findings, a high degree of inter-Office interaction -- and indeed, interdependence -- is inherently implied. In this situation, one would want to find over the long term that programs have been well informed by research and that research has been guided and informed by programs being developed. The emphasis here, of course, is on a high degree of useful interdependence -- not on a total dependence in either direction.

When the above is recognized, then the assumptions underlying the Agency's existing policy planning processes must be re-examined. Specifically, the Agency would need a policy

planning process (along the lines recommended in Part Six) which would permit the research and action program Offices of the Agency to influence each other in a significant and collaborative manner. Further, it is to be recognized that decisions made in one Office will have implementation implications in another Office. It is of fundamental importance to a professional organization to recognize that if acceptance of the decision is important, then those who have to implement the decision should be involved in the making of that decision. This was raised as a point of some concern by LEAA staff.

If, on the other hand, research and action program Offices existed as essentially autonomous units, the Agency would still need to ask how research findings could be used in program development and how those in closest touch with the field could made meaningful inputs to research. However, such interaction (where appropriate) would not be induced in this case by the Agency's structure nor particularly facilitated by the kind of procedures found in APDP or in the policy planning and program development processes recommended in this report. Thus, the Agency would need to develop different mechanisms to facilitate appropriate interaction between its essentially separated research and action program Offices.

B. Determining Cross-Office Roles and Responsibilities

Effective cross-Office integration does not "just happen" -- or at least, it would not seem wise to assume so. Rather, there is a need to be specific about cross-Office roles, responsibilities, interrelationships and accountabilities in relation to specific programs. The need to determine specific roles, etc., is important throughout the steps of a policy planning process -- i.e., from initial consideration of what criminal justice issues or problems are to be addressed by LEAA; to selection of strategies; to the drafting and final approval of a plan for the development of a specific program.

In the absence of an organization-wide process for prioritizing issues, setting program goals and establishing criteria for evaluation, it becomes quite problematic for LEAA to determine cross-Office roles and responsibilities, etc. While it is obvious that roles have been assigned to or assumed by the various Offices of LEAA, there are areas in which it is not really clear who should be doing what -- or why. This is a condition in which it is not surprising that differences of opinion, conflicts and redundancies can develop; and it becomes difficult to resolve such interdepartmental differences. Further, there may be significant "gaps" in the functioning of the Agency -- but without clear specification of policies, priorities and goals, it is difficult to identify whether (or what) gaps exist, or how to fill the gaps.

The above considerations would be important in any case. They become even more important where there are (as we have already noted) forces which tend to push towards a separatedness across the Offices of LEAA.

2. Providing a Priority Issue Rather Than a Solution Focus

In the absence of a comprehensive and systematic policy level
process for prioritizing issues and relating program decisions to
prioritized issues (in terms of anticipated impact of programs
on the issues), program decisions tend to be oriented around
specific "solutions" rather than around issues. Therefore, initial
decision processes tend to focus around a particular programmatic
"solution". Alternative solutions tend not to receive sufficient
(or often any) consideration, and a forum and basis for priority
setting tend to be lacking. Further, since the problem issue is
typically underdefined from a policy perspective, there really
is an insufficient basis for comparing alternative programmatic
"solutions" -- with undue reliance thus being placed on such bases
as personal interests, response to "current" interests and
emphases, excitement over a new idea or a promising practice, and
the like.

Finally, a program which arises from a proposed solution to a
problem which is undefined or underspecified, tends to be evaluated
in terms of compliance with program guidelines, rather than whether
or not it has impacted the problem.

3. Providing a Balanced and Prioritized Program Portfolio

Given the broad range of possible criminal justice issues which
LEAA might address, the several strategies which are mandated by
or are consistent with LEAA's mission, and the various functional
activities involved in developing innovative, research-based
programs, it is necessary to have a comprehensive and systematic
policy planning process for the development and maintenance of

a balanced, prioritized program portfolio.*

It has been our experience that the absence of such a policy
planning process tends to result in an inadequate basis for consid-
ering critical program interrelationships. Thus, program decisions
tend to be separated from each other and made incrementally rather
than being integrated into a balanced and prioritized Agency program
portfolio. This lack of project and program integration is a common
and serious limitation in a number of federal agencies which often
leads to less than optimal program selection decisions, redundancy
of programmatic activities, and gaps where needed programs are not
developed.

LEAA's annual program review process does provide some basis for
developing and maintaining such a program portfolio. This, however,
is essentially a one-time review and significantly different from a
continuous process of reviewing program interrelationships. It does
not provide for consideration of program interrelationships when
program proposals are developed and approved between annual reviews,
or at critical milestone points during program development.

4. Integrated, Multi-Year Planning

From a number of perspectives, the nature of LEAA and its programs
implies the need for integrated multi-year planning. Generally, it
is important for any agency to engage in some such form of
operational planning to sustain coherence, integrity and direction

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*See Radnor, Spivak, and Hofler (1976). This point will also be
addressed in the Appendix when we discuss related experience in
other agencies.

over time. Such planning is especially important where:

1) an agency has an important R&D multi-program mission in which the many programs may be competing for resources over several years; and in which the programs and projects may need to progress through many stages such as research, development, packaging, dissemination, etc.;

2) the success, failure or modification of one program may have significant ramifications for other current or proposed programs;

3) significant changes and trends (e.g.: in social, economic, political, legal, technological aspects) can affect criminal justice missions/topics/priorities, etc.; and

4) an agency tends to be subject to the types of internal and external pressures described earlier.

The basic implications here are that LEAA management needs the data collection and analysis capabilities that can indicate the projected consequences of various program decisions being considered.

While LEAA does have some mechanisms for considering such issues, there do not seem to be adequate formal mechanisms in the Agency for forecasting and introducing the implications of critical trends into policy processes. Rather, budget commitments are from year to year, with longer commitments being contingent on satisfactory performance, on availability of funds each year, and on any shifts in LEAA's emphases. Programs are selected one at a time and managed as independent tasks. Comments from staff helped confirm for us

the assessment that LEAA focuses its planning essentially on a year at a time, and LEAA top management indicated a strong interest in our recommendation for a longer range look at LEAA programs.

Thus we see the need in LEAA for augmented policy and program mechanisms that can provide the types of analyses and inputs needed by management for decision making and control on a comprehensive, integrated, two-to-five year basis. It would seem that a longer planning perspective would be an obvious conclusion for an Agency committed to a multi-year process such as is implied by APDP. Also, it is recognized that adopting a systematic Agency policy for longer range planning involves a commitment of future action and hence reduces future flexibility. This characteristic must be dealt with through good planning if the Agency is to realize the benefits of well-developed policies and long range plans.

We will later recommend that plans for program development (or any other strategy for that matter) be expressed in multi-year terms and that approval of a plan would indicate a (reviewable) commitment to fund the multi-year program at the level approved.

We make the above statements in the full recognition of LEAA's budget constraints. We nevertheless see the above type of capability as a matter of efficiency as well as effectiveness. Good planning saves funds, through reduced waste. Some ways to provide the necessary inputs and analysis have to be found; and these will be especially needed by the Agency during phases of transition into modified decision, planning and development processes. Thus, LEAA needs good and sufficient staff work, especially when budgets are tight.*

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*We do of course recognize that operational and staff budgets came under different categories.

This is not a call for rigidity but for informed and charted
adaptation. What is needed is a process that can translate
societal concerns, State and local problems, and research
opportunities into a multitude of programs that have been selected
and balanced across each other, across the functions and Offices.
-- and (in terms of budgets and personnel, in terms of one-three-
five years planning periods) across their changing configurations
over time. We have observed in a variety of agencies that too
often the lack of such a process leads to programs being initiated
in current fiscal years, whose later stages of implementation would,
if properly executed, soak up or swamp the rest of the agency's
programs in terms of resources -- leading, typically, to under-
financed programs that are "forced to fail" in the field.

The above comments also apply, of course, to specific activity units --
e.g.: the planning, managing and budgetting of the incentive fund
program on a multi-year basis, provided only that consideration be
given to interaction effects of one type of activity with the Agency's
other basic activities.

III. STAFF UNDERSTANDING OF LEAA POLICY PLANNING

One of the factors that led us to consider how LEAA policy planning
does and/or should relate to LEAA program planning was the strong
concern and confusion expressed by staff on this issue -- as is
illustrated by such statements and questions as: "The front end
of APDP needs a lot of work." "I agree with the concept of APDP but
I don't see what drives the process." "How does the decision get
made to have a particular program?" Such comments clearly indicated
that to a significant degree, LEAA staff:

1) do not understand how policies and priorities are formu-
lated at LEAA or how these relate to programs and program
development;

2) do not know how they can influence the policy/priority
formulation process at LEAA.

This staff concern needs to be viewed from two perspectives.

The first perspective concerns the APDP design. As the above
discussion of the first three steps of APDP has indicated, the
APDP design involves both policy and program level considerations.
This we believe to be a major reason Staff expressed confusion about
the "front end" of APDP. It is further our view that these first
three steps of APDP need to be separated out and further elaborated
into a separate and distinct policy planning process. We will suggest
such a process in Part Six.

The second perspective concerns the effect that staff confusion
about LEAA policy planning has on the implementation of APDP in
particular and program development in general. It is our judgement
that this staff confusion has had an inhibiting effect on APDP
implementation, and would continue to inhibit staff effectiveness in
program development.

Question may be raised, of course, as to whether or not LEAA staff
need to know about or have an ability to influence the policy planning/
program decision process. Certainly, we respect the caveat that
there are times when it is appropriate for top management not to com-
municate either the reasons for or the nature of policy decisions --
though we suspect that in relation to program decisions, this would
be the exception rather than the rule. Nonetheless, our basic argu-
ment here is that staff at LEAA are professional staff and that program
development is not an assembly line process. In such a situation,
the weight of modern research and theory clearly indicates that motiva-
tion and commitment of professional staff are strongly influenced
when they know the "how, why and where-to-from-here" of a program.
Further, professional staff can provide an important source both of
program ideas and of information relevant for program decisions -- if
they know how to "influence" the program decision process. This is
compatible with LEAA's current use of decision memos by staff.

One way of dealing with staff concerns here is, of course, to elaborate
the policy planning process (as we do in Part Six). Another way
which we will recommend (in Part Nine) is to provide separate training
sessions on the policy planning and program development processes
of LEAA. This would additionally permit training of staff who are
not primarily involved in program development per se.

IV. SOME OTHER CONSIDERATIONS

As discussed above, we have in this project given consideration to
policy planning (as it relates to program development) primarily
because of our examination of the first three steps of APDP, of
aspects of LEAA's existing policy planning processes and of staff
concerns. Some other considerations deserve mention here also.

1. Administrative Leadership Changes

In any federal agency, periodic change in top administrative leadership
is a fact of life. Certainly, LEAA has had a fairly large and rapid
change in its top administrative position. Since its inception in
1968, LEAA has had nine Administrators or Acting Administrators. The
potentially disruptive impact of frequent top leadership change in any
organization goes without saying. We simply note here that LEAA staff
identified the need for consistent leadership in relation to APDP.

This fact of life poses a challenge both to the Agency as a whole and
to the Administrator. On the one hand, it is to be expected that each
new Administrator will have particular perspectives, concerns, admini-
strative styles. Thus, there is a valid need for a process that faci-
litates a new Administrator's ability to influence the policies, pri-
orities and programs at LEAA. It is important to recognize this as
a normal dynamic -- indeed, as a process whereby the Agency periodi-
cally reexamines its policies, priorities and programs.

At the same time, it is equally important that there be mechanisms
for ensuring continuity and stability of LEAA policies, priorities
and programs across changes in Administration. Indeed, programs
involving R&D and innovation may often require from three up to
ten or more years to come to fruition. To change such programs
every one or two years is to guarantee both failure of the program
and wasted use of scarce financial and personnel resources.

We believe that the policy planning model discussed in Part Five
will provide LEAA with a mechanism for meeting the management
challenge posed by top leadership changes. Specifically, a balanced
and integrated set of policies, priorities and programs would
provide a valid basis upon which a new Administrator could make
decisions which take into consideration both the Agency's needs for
continuity and the relationship of his own emphases and priorities
to the overall mission and functioning of LEAA.

We do not, of course, suggest that this will guarantee protection of
the Agency from drastic, disruptive shifts by new top leadership.
Rather, it does provide a mechanism whereby continuity and flexibility
could be productively maintained during periods of leadership transition.

2. External Communication and Justification

Public agencies are by definition open for review, evaluation, pressure
and criticism by various concerned parties external to the Agency.
Certainly, LEAA has been subject to an array of recurring external
pressure and criticism.* Thus, communication and justification of
its policies, priorities and programs are valid and important needs
for LEAA.

We believe that the policy planning model recommended in Part Six
could provide LEAA with the necessary bases for effective interaction
with its external publics -- i.e.:

1) Priorities which are balanced in the broad scope of LEAA's
   mandated purpose and mission.

2) A thoroughly developed and sound rationale for the selection
   of each of LEAA's specified priorities.

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*Most recently, for example: the report of the National Academy of
Science; recent efforts in the Congress to abolish the Agency.

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3) Specified impact goals which are measurable*and which
   clearly relate to a specific priority issue.

Additionally, since the above also provide a useful basis for identi-
fication, evaluation and selection of specific programmatic (or other)
strategies, LEAA would be in a position to interact effectively with
its external publics concerning any particular LEAA program.

Four points deserve further consideration here.

First, constructive interaction with LEAA's external publics is a
difficult task at best. Nonetheless, it is our position that this
task is made even more difficult in the absence of a systematic,
integrated organization-wide policy planning process.

Second, it is to be recognized that in a very real sense, the di-
rection of LEAA policies and programs is strongly influenced by
external pressures -- most notably the President, the Attorney
General, the Congress, State and local agencies and varying but
strong public concerns. Interaction with external publics is both
valid and important for an agency such as LEAA -- and we are not
suggesting that LEAA should ever become insulated from such interaction.
We do, however, believe it important that the Agency have a policy plan-
ning process which would enable LEAA to be proactive and constructive in
interactions with its external publics. It is also important that
such a policy planning process provide a significant degree of
protection for the Agency from inappropriate pressure and unreasonable
buffeting. We believe the policy planning process discussed in Part
Six could help LEAA develop these capabilities.

Third, with respect to criticism of LEAA and its programs, the issue
here is not whether specific criticisms are justified or unjustified --
nor do we suggest that any mechanism will prevent all criticism.
Rather, the issue once again is that an integrated, organization-

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*We recognize, of course, the difficulties and issues related to
the "measurement" in the social science arena.

wide policy planning process would provide LEAA with a greater capability to respond effectively to external criticism -- and even at times to defuse some criticisms in advance.

Finally, the above discussion is predicated on the need and validity of communication to external publics concerning LEAA's policies, priorities and programs. At the same time, it is to be recognized that how managers choose to use policy, priority and program information in external (as well as internal) relations is itself a policy matter, as is the decision about whether to or how to respond to external criticisms or pressures. Our position is that managers should have available to them a clearly articulated policy and priority position to use (as and when needed) to communicate, to coopt, to defend or to justify; and that the decisions taken in this regard should be made consciously and with a full awareness of the positive and negative impacts, the benefits and the costs.

3. State and Local Inputs to LEAA Program Decisions

Another important set of LEAA's external publics is made up of the various State and local agencies (governmental or non-governmental).

We will not make any detailed recommendations in this report about the LEAA/State and local interface* -- but we think that our knowledge of the difficulties involved, our own concept of the importance of this interface and observations of this interface at LEAA warrant brief comments here and a recommendation that this interface dynamic be given further examination by LEAA.

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*Our initial proposal to LEAA suggested that such a study be done after the completion of this project. A detailed study in this respect was not part of this project.

We consider this interface to be of importance because of the purposes it could serve. These purposes could include at least: constituency building and system building; providing inputs to policy planning with regard to priority issue and strategy selection decisions, especially with regard to decisions to develop a program; providing inputs concerning possible needs for research; maintaining the critical Agency/user linkages during the marketing, demonstration and utilization assistance steps of program development.

Maintaining this interface and obtaining useful inputs from State and local organizations is, of course, no easy task -- if for no other reason than that the large number of such agencies and their diffuseness and diversity. It is indeed difficult to obtain consensus types of inputs under these conditions. Further, the interface is even more problematic because of such matters as constitutional and political separations and tensions between levels of government and because of variations and inadequacies in the planning processes of State and local agencies.*

We also recognize that LEAA does have various mechanisms for interacting with State and local agencies. These would include: advisory councils; regular meetings with various public interest groups; review of DF guidelines; etc.

How much LEAA/State and local interaction there should be and through what mechanisms is, of course, a matter of LEAA decision. We do note that the policy planning and program development processes discussed in Parts Six and Seven do indicate specific steps where such interaction would be relevant.

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*These variations and inadequacies are recognized in a recent RFP (J-015-LEAA-8) from LEAA. See also Hofler and Radnor, 1977.

V. RECOMMENDATIONS

Based on the above analysis of the interrelationships between policy planning and program development, we make the following recommendations to LEAA:

1) That Steps One through Three of APDP be separated out and elaborated into a distinct and separate process for Agency-wide policy planning in order to:

   a) provide for Agency-wide determination of LEAA's priorities;

   b) provide balance across and guidance for LEAA's activities;

   c) provide for integration and coordination across the Offices and activities of LEAA;

   d) relate the activities of the Agency to the priorities of the Agency.

2) That this policy planning process be designed so as to ensure adequate and appropriate linkage with the Agency's program development process and the processes utilized by Agency in relation to its other basic activities.

3) That this policy planning process be used in a way to ensure:

   a) consideration of alternatives;

   b) consideration of the Agency's activities in multi-year terms;

   c) evaluation of the Agency's activities in terms of impact on the Agency's designated priorities.

4) That further consideration be given to LEAA's relationship With State and local agencies in relation to LEAA's policy planning process.

PART FIVE

AN OVERVIEW OF POLICY PLANNING

AND PROGRAM DEVELOPMENT

TABLE OF CONTENTS

In Parts Six and Seven of this report, we will present our detailed
recommendations for separate and distinct processes for policy planning
and program development.

In this part of the report, we will briefly overview the two recom-
mended processes and discuss some initial considerations concerning
the nature, logic and use of the recommended processes. Specifically,
we will here focus our attention on:

1) the need and the direction
2) a brief description of the two processes
3) sequencing and flexibility
4) a priority issue orientation
5) consideration of alternatives
6) linkage between policy planning and program development
7) issues of scope and domain
8) the role of research in policy planning and program
   development.

These concerns are discussed separately here for two reasons. First,
they are concerns which apply to both policy planning and program
development. Second, we feel that a discussion of these concerns is
necessary to provide a proper perspective for a more detailed examina-
tion of the recommended processes -- and for their use.

Two further observations need to be made here.

First, the recommended processes provide a _framework_ for policy planning
and program development. There remains, of course, areas which need to
be developed further to an operational level of detail and specific --
e.g.: developing some kind of decision choice model in relation to
the action decision steps of policy planning; developing mechanisms
and processes for identifying and obtaining information about a broad
but feasible range of topics; allocation of responsibilities to specific

persons or units for the roles and tasks noted in the program development
process; etc. To some extent, these are matters which are essentially
standard administrative concerns of the Agency. To some extent, they
may require further study. To develop such an operational level of
detail would have been beyond the mission of this project. We do, however,
briefly discuss several of these areas in Part Ten.

Second, a comment needs to be made here about the use of terminology in
Parts Five, Six and Seven. It is difficult, if not impossible, to
find specific terms which are completely appropriate, precise in
meaning, and similarly used by various people. In short, different
people often attribute different meanings to the same word -- or
would choose (and sometimes fervently defined) different words to
describe the same phenomenon. Though we have tried to choose terms
carefully in designing and discussing our recommendations, we readily
admit to imperfection here. Three brief examples will illustrate
the difficulty and alert the reader to focus on substantive meaning
rather than specific terms. First, we debated whether to use the
term "policy planning" or the term "policy decision making". Both
are appropriate -- the policy-level process recommended in Part Five
is both a planning and decision making process. We assumed the term
"policy planning" to be more commonly used than "policy decision
making". Second, we have used the term "Goals" for Step V of policy
planning in order to ensure that formal target goals are set in
relation to specific priority issues of the Agency -- but we also
note and emphasize that there are goal considerations at every stage
and step of policy planning. Third, we chose to use the term Prototype
Testing" for the second step of program development -- simply because
this seemed to us to be the most representative term. However, we
recognize that this term might (wrongly) imply large scale, very high
cost prototypes -- and that some other term might be used for this step.

In a word, then, we think the terms we have chosen in our recommenda-
tions are appropriate and provide reasonably accurate descriptions of
substantive content -- but if other terms seem more appropriate and
useful for LEAA, they should be used.

I. THE NEED AND THE DIRECTION

The discussion in the previous parts of this report has suggested the following general conclusions:

1) that APDP is an essentially sound process, applicable to LEAA's current needs.

2) That there is a need to separate out Steps One, Two and Three of APDP (Policy Planning, Problem Definition and Selection of Response Strategy), and then elaborate these into a more complete policy planning process.

3) That Steps Four through Seven of APDP (Program Design, Testing, Demonstration, Marketing) are specifically concerned with the development of a single program -- and should be somewhat further elaborated as a separate program development process.

4) That the distinct and separated policy planning and program development processes need to be appropriately linked.

5) That there are significant implementation requirements that need to be given further consideration. (Implementation requirements are discussed in Part Nine.)

Figure 1 illustrates how the recommended policy planning and program development processes build upon and elaborate APDP in order to respond to the above points. Figure 1 also illustrates that the focus of policy planning has the basic simplicity of the logic of the recommended policy planning model -- i.e., it focuses management attention and effort around those matters of policy decision which are action-oriented. This enables the Agency to translate the Agency's broad concerns (of purpose and mission) into specific priorities, goals, strategies and action plans.
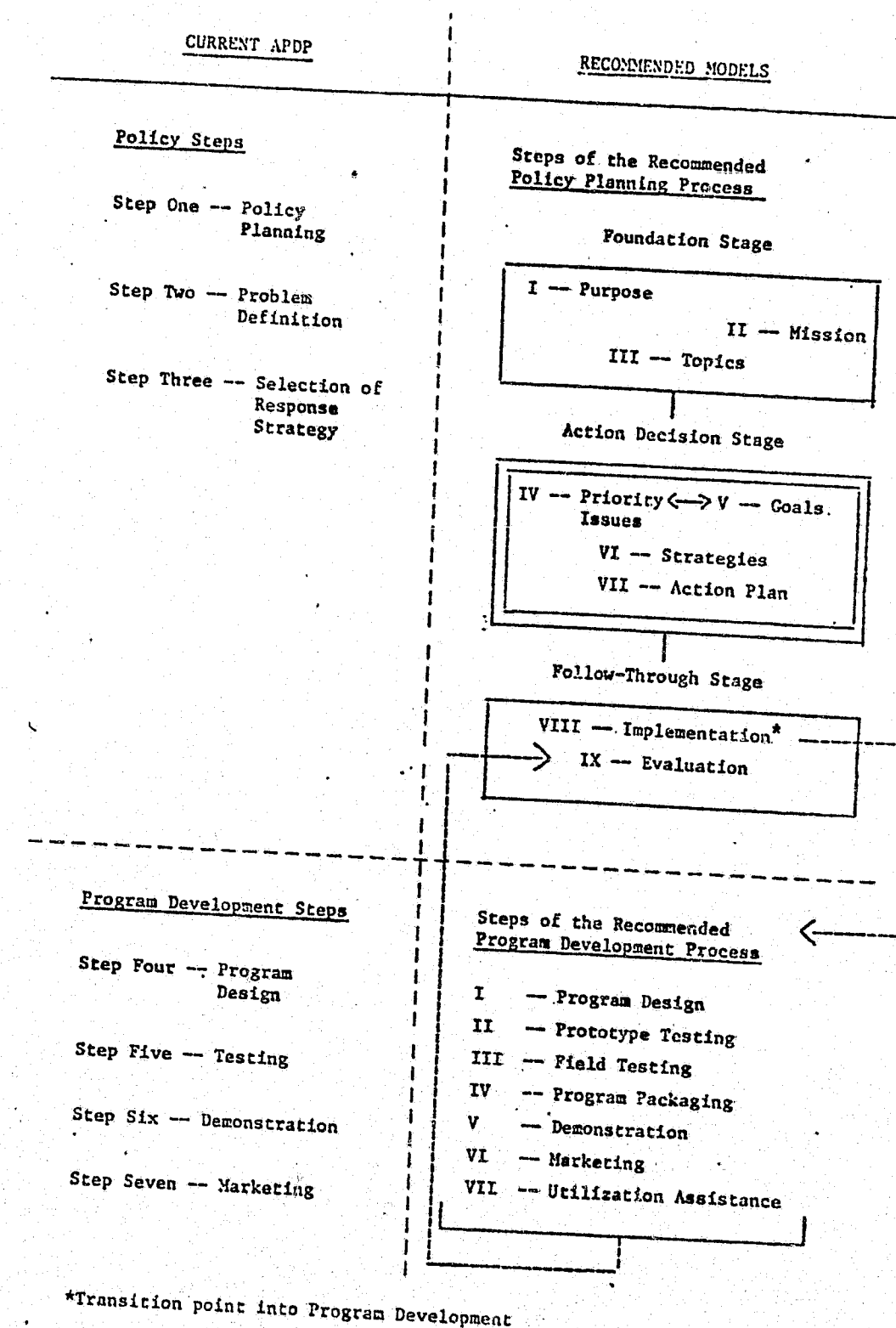
Figure 1

Steps of APDP and the Recommended
Policy Planning and Program Development Models

II. POLICY PLANNING AND PROGRAM DEVELOPMENT RECOMMENDATIONS:
AN OVERVIEW

The policy planning and program development processes described in
Parts Six and Seven of this report are designed to respond to the above
needs. They build upon and elaborate the central thrusts and direc-
tions of APDP.

1. The Policy Planning Model

The policy planning model is designed to assist top management to
proceed in an explicit manner:

1) from a recognition of the Agency's purpose and mission;

2) to specification of topics (e.g.: issues, problems or
opportunities) to which the Agency could consider responding;

3) to selection of priority issues and the setting of goals
in relation to the selected priority issues;

4) to the selection of a specific strategy (or set of strategies)
for development into an action plan which, when approved
by top management, would be implemented;

5) to an evaluation of the impact of the selected strategy.

2. The Program Development Model

The logic of the program management model is consistent with current
APDP. The only differences are to be found in the elaboration of the
steps:

1) Testing is split into two steps: Prototype Testing and
Field Testing.

2) Program Packaging and Utilization Assistance steps have
been separated out to give these critical activities more
visibility and focused concern.

3) We have also suggested some clarification of the existing
APDP steps and highlighted some of the critical considera-
tions that should be taken into account at each step.

III. SEQUENCING AND FLEXIBILITY

The processes of policy planning and program development need to be viewed from two perspectives:

1) the need for <u>sequencing</u> of decisions and activities in order to maintain the <u>logic</u> of the processes; and

2) the need for <u>flexibility</u> in the <u>use</u> of the processes.

1. Developmental and Stepwise

The recommended models are presented in a developmental, stepwise manner. This mode of <u>presentation</u> serves three important functions.

1) It suggests the requirements which precede and follow from each stage or step of the models. In this way, policy <u>decisions</u> and program development <u>activities</u> can be appropriately sequenced.

2) It creates a framework of decision making that can serve to maintain policy and program <u>coherence and integrity</u> in the face of the normal uncertainties of innovation-oriented programs and of the vagaries of external pressures.

3) It creates the opportunities for examining <u>alternatives</u> at each step. We believe this to be an important dimension of the processes (APDP and this elaboration), a dimension that can open up significant opportunities.

Specifically with reference to policy planning, there is a necessary sequence of <u>formal</u> decisions in that: (a) decisions about priority issues and goals must be made before appropriate strategies can be selected; (b) a strategy must be selected before an action plan can be <u>approved</u>; and (c) approval must precede implementation of an action plan.

The steps of the recommended program development process reflect an obvious and logical sequencing of activities.

2. A Caution Against Linear Rigidity

Having noted the significance of the stepwise presentation of the models, it is now important to caution against linear rigidity in the <u>use</u> of the processes that might (wrongly) be inferred from our step-wise mode of presenting the two models. To provide a proper perspective for flexible <u>use</u> of the models, we made the following observations (which will be discussed more fully in Parts Six and Seven):

1) The first three "steps" of policy planning (Purpose, Mission, Topics) are presented in a "zig-zag" pattern in Figure 1. This is to indicate that while they do interact, these steps are not sequential.

2) As further illustrated in Figure 1, the Priority Issues and Goals steps are integrally related.

3) There is a consideraton of goals at each step of policy planning. The determination of purposes, missions, or topics requires an initial consideration of goals, whether implicitly or explicitly. These goals tend to be relatively broad and unchanging. They may also tend to be idealistic. There are also goals in relation to strategies and action plans. These goals need to be very specific, are relatively narrow or limited, and will be more subject to change as the Agency's activities and relevant conditions change over time.

Thus, while the recommended policy planning process has a specific Goals <u>step</u>, consideration of goals is implicit

and inherent throughout the policy planning process. The separate Goals step indicates that when the Agency decides to respond to a specific priority issue, a specific level of desired goal attainment needs to be formally stated in order to provide a basis for: (a) selecting appropriate strategies; and (b) measuring and evaluating the impact of the use of selected strategies on the priority issue.

4) In the program development process, there may well be occasions where steps are skipped or combined, or where the program development process starts in the "middle" of the process (e.g.: with the Demonstration step) -- though we suggest that justification should be explicitly made in these situations.

In addition to the above, it is important to recognize that the use of the recommended processes will often involve a considerable amount of iteration and cycling both within and between the two processes. For example:

1) Within the policy planning process, efforts to select strategies or develop action plans may lead to a realization that priority issue impact goals (set in an earlier step) were set unrealistically high or low -- or may suggest different ways of formulating priority issues, or even a need to reconsider the decision to designate the issue as a priority issue.

2) Within the program development process, the steps are indeed an appropriate and necessary sequence of activities. However, we also note that: (a) there needs to be a "looking forward" and a "looking back" at each step; and (b) the results at any step may lead to a cycling back to any previous step.

3) Similarly, efforts to accomplish any of the program development steps may suggest a re-cycling back to the policy planning process in order to reformulate the action plan, consider other alternative strategies, or to reconsider goal or priority issue decisions.

Additional illustrations could be given, but the above discussion should serve to indicate the need for using the recommended processes in a manner which is flexible and yet which maintains the integrity of sequence in policy decisions and in program development activities.

IV. A PRIORITY ISSUE ORIENTATION

Determining the Agency's priorities is of critical importance:

1) The priority issues which the Agency chooses to address set the tone and pattern for what the Agency does and for the allocation of its resources.

2) Goals which are set in relation to specific priority issues provide a basis for evaluating the activities of the Agency.

3) The setting of priorities interacts very strongly with budgetting. On the one hand, the setting of priorities determines the way in which budget allocations should be made. On the other hand, funding requirements have to be one factor considered in the setting of priorities -- otherwise: an imbalance can be created across the set of the Agency's functions and priorities, on a short and/or long term basis; cummulative funding requirements could exceed the Agency's financial capabilities.

4) Similar comments can be made concerning the relationship between the setting of priorities and the allocation of the Agency's personnel resources.

Because of their importance to the Agency, priority issue decisions must be made as part of the Agency's policy planning process. Indeed, in a very important sense, the whole policy planning process can be seen as one by which the Agency selects proper priorities to address -- and then operationalizes these into actionable and measureable goals and plans. Thus the ability and willingness of management to address properly these priority setting decisions is critical to the success of the Agency.

We further note that the selection of strategies is importantly dependent upon the selection of an Agency's priority issues. Focusing on a priority issue enables the Agency to:

1) evaluate a suggested strategy in terms of its potential for impact on the selected priority issue; and

2) consider a suggested strategy in relation to and/or in combination with other possible strategies.

Without a priority issue focus:

1) Strategies tend to be evaluated in isolation from each other. Thus the decision becomes whether or not to accept or reject the proposed strategy -- rather than which alternative strategy to choose.

2) The criteria for approving or rejecting a suggested strategy remains unclear, except through an ex post facto process of rationalization.

In a similar vein, the program development process flows from and is dependent upon the Agency's priority issue decisions. Simply put, the purpose of developing a program is to impact a designated priority issue -- and the evaluation of a program's use by State and local agencies in the field is based upon impact goals set in relation to the specific priority issue.

V. CONSIDERATION OF ALTERNATIVES

An essential part of the logic and use of the models is the consideration of alternatives. For example, before designating the priority issues to which it will respond, the Agency should consider a wide range of issues and problems; alternative ways of viewing the issues (e.g.: the interaction of two issues might suggest a synergistic combination among strategies and/or the recasting of two issues into a single issue); etc. In the recommended policy planning model, the essential function of the Topics step is to ensure the consideration of these kinds of alternatives as preparation for making priority issue decisions.

At the strategy selection step, it is possible to consider a variety of general or more specific strategies (or combinations of strategies) which could be used in an attempt to impact a specific priority issue. For example, the issue of arson could conceivably be addressed by initiating research programs, by developing programs for prevention or for improved evidence collection, by providing technical or financial assistance, etc. Strategies may differ as to time frames, resource requirements, level of impact on a priority issue, etc. Strategies may cut across Offices and across criminal justice functions. It may be desirable at times to utilize several strategies more or less simultaneously.

In our view, it is important to consider alternatives at each step of the recommended processes. This is especially true in the policy planning process where consideration must be given to issues of balance across the Agency's activities; to issues of coordination and integration across Offices; to issues of cost and of the cumulative requirements of the Agencies activities; etc.

VI. LINKAGE BETWEEN POLICY PLANNING AND PROGRAM DEVELOPMENT

While we are recommending separate and distinct processes for policy planning and for program development, it is also of critical importance that these two processes be appropriately linked.*

This linkage cannot be left to chance, nor even to explicit instructions that may accompany requests to staff to develop specific programs. This is especially so for innovation oriented and R&D based organizations in which program ideas and new directions may come from a variety of sources, at varying times, and often in very unpredictable ways. Therefore, the linkage must involve a continuing and specified process of two-way communication at each step in the policy deliberations and at each point of idea, program, and progress review.

A number of linkages have been built into the recommended models — in terms both of mechanisms designed to facilitate interaction between policy level and staff personnel and of formal linkage between specific steps of the two processes. The basic linkages are illustrated in Figure 2.

1. Interaction Facilitating Linkages

At each of the first seven steps of the policy planning model (leading up to approval of an action plan for the development of a specific program), policy level personnel will need increasing amounts of information from staff. To facilitate this information flow, we

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*While the focus of this project is on program development, the linkages between policy decisions and action plans to implement these decisions would also be important for strategies other than program development.

STEPS OF THE RECOMMENDED
POLICY PLANNING MODEL

I   -- Purpose

II   -- Mission

III   -- Topics

IV   -- Priority Issues

V   -- Goals

VI   -- Strategy

VII   -- Action Plan

VIII   -- Implementation

IX   -- Evaluation

Pre-program development
information prepared by
staff

STEPS OF THE RECOMMENDED
PROGRAM DEVELOPMENT MODEL

I   -- Program Design

II   -- Prototype Testing

III   -- Field Testing

IV   -- Program Packaging

V   -- Demonstration

VI   -- Marketing

VII   -- Utilization Assistance

Figure 2

Linkage Between Policy Planning and Program Development

will be suggesting (in Part Six) an elaboration of LEAA's decision memo concept to include:

1)   A Priority Issue Decision Memo;

2)   A Strategy Decision Memo; and

3)   An Action Plan Decision Memo.

These memos* would permit management to request information from staff which would be _focused_ around critical policy decision points. The memos would also permit staff to take initiative to make suggestions to management.

2.   Formal Linkage

In the proposed policy planning model, the linkage to program development becomes formalized in the last three steps:

Step VII -- Action Plan

The action plan is developed by staff and specifies the basic plan for the development of a program. The action plan must be approved by management at the policy level before it can be implemented.

Comment on the development of action plans is in order here. It is clearly infeasible and undesirable for top Agency management to

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*While we are proposing three separate memos, consideration could be given to combining the _form_ of these into a single document. The intent is to focus around and provide information specifically relevant to three distinct policy _decision_ points.

take the major responsibility for preparing the detailed action plans for each program to be pursued by the Agency -- although we do take the position that some degree of such hands-on involvement is both unavoidable and even desirable. However, in the absence of adequate linkages between policy planning and program development, there is a tendency for policy makers to abandon the explicit policy-making role in favor of direct involvement in operation details -- to the frustration of staff. Further, policy makers tend to be forced back into a process of ex post facto justification.

Step VIII -- Implementation

When an action plan for program development is formally approved by top management, implementation is accomplished through the program development process. Top management roles now shift to reviewing and monitoring the program development process (as specified in the action plan), as well as supporting staff efforts as needed.

Step IX -- Evaluation

This refers to evaluation of the use of an LEAA-developed program in State and local agencies. The results of the evaluation provide new input to the ongoing policy planning process (possibly including decisions to modify the program, select an alternative strategy, etc.).

VII. SCOPE AND DOMAIN OF THE MODELS

One of the main points of staff uncertainty noted earlier involved the scope or domain of APDP. Staff asked such questions as: "What is a program? What gets APDP'd?" Our analysis suggests that there are really two basic questions here that must be answered separately:

1) What Agency activities lie within the domain of the Agency's basic policy planning process?

2) What Agency activities lie within the domain of the Agency's basic program development process?

In order to answer these questions, it is first necessary to identify the range of LEAA's general activities. While these could be categorized in different ways, a categorization which would reasonably serve the purpose of this discussion would be: research and evaluation; program development; assistance (training; financial and technical assistance; planning grants); information-related activities (information collection; analysis and synthesis of information; dissemination of information; development of information systems); system building (developing an R&D infrastructure within the criminal justice system; developing supportive constituencies for LEAA; developing cooperative activities among State and local agencies); other (this simply recognizes that there may now or at some future time be some type of activity which LEAA would want to consider as a specific and separate basic general activity -- or that some activities may simply not "fit clearly" into the above categories).

1. The Scope of the Policy Planning Process

The policy planning process is Agency-wide in scope in the sense that it involves decisions which must be made from an Agency-wide perspective and by those who have the responsibility for the functioning of the Agency. The decisions would at least involve matters of Agency direction, priorities and goals; selection of strategies to impact priority issues; mix, balance and portfolio-building with respect to the Agency's general activities and its priorities.

At a broad level, the Agency's general activities (program development, research, assistance, etc.) represent the basic strategies of the Agency -- i.e., the basic approaches the Agency could use to respond to and impact a priority issue. Within these general activities of LEAA, strategies may of course be more narrowly and specifically defined (e.g.: to do research on the relative effectiveness of three suggested solutions to the issue of court delay; to develop a program for training local police officers in techniques of arson investigation).

All of the general activities of the Agency are to be addressed by the policy planning process. As the basic strategies of the Agency, they need to be considered in terms of: (1) their relative potential (separately or in combination) to impact a priority issue; and (2) possible synergy or conflict with each other. These considerations are made as part of Step VI of the policy planning process.

Question may arise as to the way in which the research activities of LEAA relate to the policy planning process. This question may be viewed from several perspectives.

1) Research is one of the basic mission activities of LEAA. Thus, it is by definition included in Step II (Mission) of the policy planning process.

2) Thus, decisions about allocation of funds for research (within legislatively mandated constraints) are subject to policy level decisions -- as are allocations for all of LEAA's general activities.

3) At the same time, however, it was emphasized in Part Two that to an important degree basic research must be guided by its own internal dynamics in response to the opportunities and needs of the changing state-of-the-arts, and the capabilities and enthusiasm of research staff.

4) Research may be selected as a strategy (Step VI) in response to a specific priority issue.

5) Research is an important source of information about and suggestions for each step of the policy planning process.

2. The Scope and Domain of Program Development

In the sense that it involves cross-Office and cross-function coordination and integration of LEAA's programmatic activities, the scope of the program development process is also Agency-wide.

The question remains: What is or is not to be considered a "program" (for the purposes of inclusion in the program development process)? We suggest that this question be answered by the principle of exclusion -- e.g.: all of the Agency's basic activities are to be considered programs

unless specifically excluded. The basic principles of exclusion would
be that: (1) the activity does not relate specifically to some priority
issue of the Agency; and/or (2) it is obvious that the steps of the
program development process do not really apply to the activity.

With these criteria in mind, it would be our view that the following
LEAA activities would be excluded from the program development process:
basic research; block grants; most research, analysis and informa-
tion-related activities (except as these are incorporated as part of
the development of a specific program), and other activities whose
specific forms are mandated directly by the Congress and thus do not
permit the development of a program design or other program develop-
ment activities. There may, of course, be:

1) other specific LEAA activities which meet the above-
   stated exclusion criteria;

2) activities which may at times be included in and at other
   times excluded from the program development process (e.g.:
   training).

In either case, the decision to exclude is a policy decision to be
made by LEAA -- either in advance on a general category basis or on
a case-by-case basis.

As noted in Part Three, determining what does or does not get in-
cluded in the Agency's program development process has been a signi-
ficant source of confusion for staff. The above discussion provides
a basic framework for clarifying this issue. We suggest that LEAA
develop specific policy guidelines (refining and modifying the
above framework as necessary) for designating which of its activities
are (or are not) to be included in the Agency's program development
process.

3. A Degree of Flexibility

In any innovation oriented organization, there must always be room for
and a climate which supports creative efforts whose ultimate form and/or
contribution is unclear. To prevent this is to court stagnation.
Thus, policy and budgetary processes should be sufficiently flexible
to permit and encourage staff to develop suggestions for priority
issues and strategies -- without needing to prove that these efforts
contribute to an agreed and already determined priority issue, goal,
strategy or action plan. As long as the work seems to fit within the
general missions and purposes of the Agency, it should be allowable
because it looks good (in terms of equality), is exciting, has the
commitment of personnel, etc. -- especially when it promises to
break down accepted constraints (of thinking, of feasibility).

We have earlier noted the need to provide an innovative and flexible
climate for research -- so long as the research falls within the purpose
of the Agency. To an important degree research should be seen as a
constraint removal process -- and it is to be noted very explicitly
that we are not proposing the use of the policy planning or program
development models to drive the basic research activities of the
Agency, nor even as the only source of initiation for applied research.

The need to provide for flexibility in research activities is reason-
ably obvious. Though perhaps less obvious, it is also important to
provide a degree of flexibility for program staff to pursue interesting
ideas and to suggest priority issues, programs, etc. For example, this
might include undertaking some preliminary efforts to develop an
action plan for development of a program (or for some other general
activity) to the point where it is feasible to present a case to man-
agement for consideration and approval.

While suggesting such flexibility, we also note the programmatic aspects
of the Agency's activities which are permitted outside of the policy

planning and program development processes cannot be allowed to apply to more than a small and controlled proportion of what goes on. To do otherwise would destroy that essential integrity and coherence of programs that was being sought by LEAA through APDP, and which we have adopted as being correct for LEAA in our own thinking. A specific suggeston would be to allow some proportions of LEAA's total program budget (e.g.: 10%) to be used outside of the policy planning and program development processes. This would be similar to procedures used by some industrial firms with respect to their R&D budgets.

VIII. THE ROLE OF RESEARCH IN POLICY PLANNING AND PROGRAM DEVELOPMENT

It is important to recognize that research plays a significant role in relation both to policy planning and to program development. This is illustrated in Figure 3.

In relation to policy planning, research provides an important input for the identification of problems and suggestion of topics; for the selection of topics, priority issues, goals and strategies; for the development of action plans; and for evaluation of action plan implementation. At the same time, the purpose and mission of the Agency provides direction and guidance for the Agency's research, but can also be importantly influenced by research. Consideration of topics, priority issues, goals, strategies and action plans may also require research before final* policy decisions can be made.

Research also plays an important role in relation to program development. Again, the relationship is two-way: research findings may inform the development of a program, and the development of a specific program may require further research before the program development process can be completed. Indeed, in this latter sense, research would be considered a part of the program development process (for a specific program). Generally, this would be specified in the action plan for the development of a specific program, though at times the need for research may arise during the program development process.

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Of course, tentative policy decisions can be made, pending research findings.
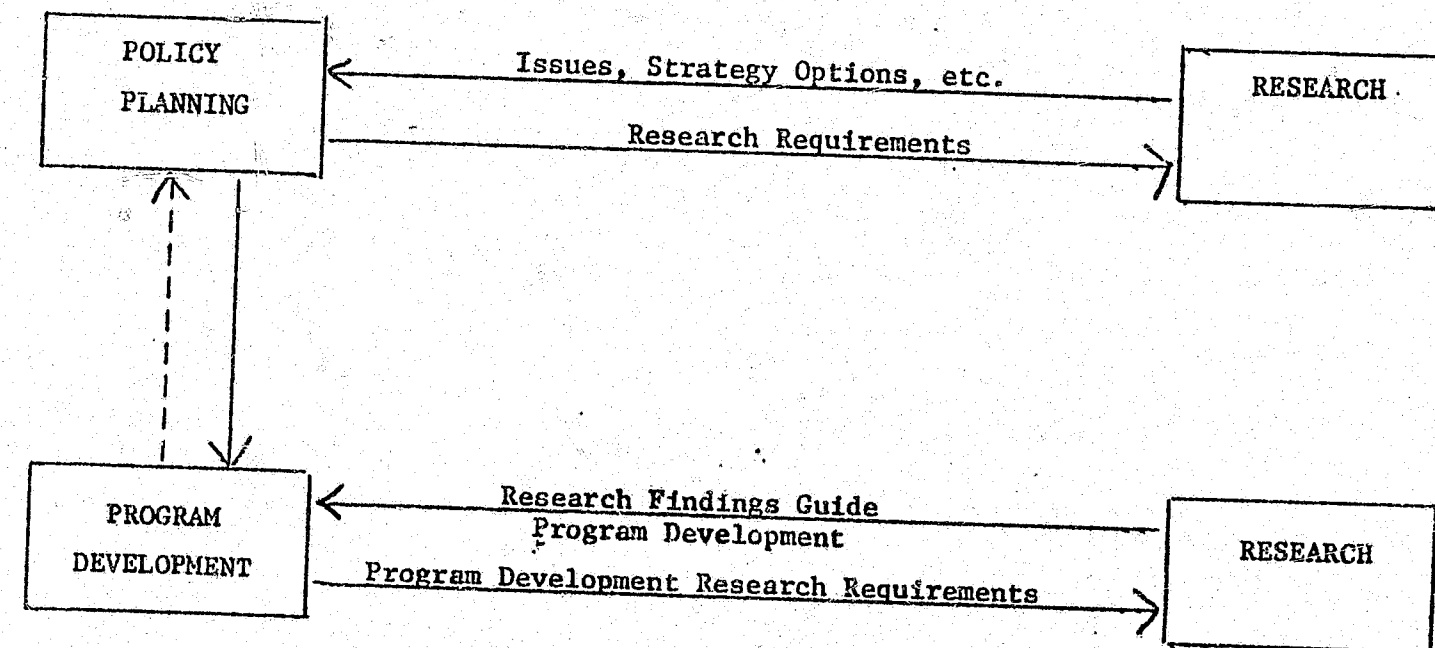
Figure 3

Research Roles in Policy Planning and Program Development

PART SIX

RECOMMENDATIONS FOR

POLICY PLANNING

TABLE OF CONTENTS

RECOMMENDATION:

We recommend that LEAA adopt and implement the policy planning process described in Section III below.

The policy planning model we are recommending describes a process through which LEAA's top management can undertake a series of deliberations and discussions which:

1) focuses policy planning around priority issue decisions

2) provides for the development, approval and implementation of plans for impacting these priority issues

3) facilitates integration across Offices, activities and criminal justice functions

4) facilitates the development of balance across the Agency's activities

5) facilitates multi-year planning

Additionally, the recommended policy planning model would be helpful regarding LEAA's relationship with State and local agencies and other external publics.

One caveat is in order here. While all of LEAA's general activities are included in the process of policy planning, this study focuses on program development. Thus, our discussion of the policy planning model will be oriented towards the selection of program development as a strategy.

Before discussing the steps of the policy planning model in detail, several aspects of the nature, logic and use of the model need to be highlighted.

I.   THE NATURE AND LOGIC OF POLICY PLANNING

The discussion in Part Five has provided an overview perspective relevant to both the policy planning and program development models.

Additionally, there are some further considerations which need to be discussed here which are specific to the nature and logic of the recommended policy planning process.

The stages and steps of the recommended policy planning model are briefly summarized and illustrated in Figure 4.

STEPS		DESCRIPTION	EXAMPLES

FOUNDATION STAGE

I.	PURPOSE	Identifies the societal function/sector to which a specific organization relates	Law Enforcement and Criminal Justice
II.	MISSION	Identifies the types of activities which are within the role domain of a specific organization	Research and Development, Financial Assistance, Program Development
III.	TOPICS	Identifies specific issues which could be addressed by a specific organization	Violent crimes, court delay, etc.

ACTION DECISION STAGE

IV.	PRIORITY ISSUES	Specifies the particular issues which an organization chooses to address	Selected from the above topics
V.	GOALS	Specifies the desired outcomes of an organization's activities	Reduce court delay from 90 to 60 days
VI.	STRATEGIES	Specifies the particular approach selected to address a priority issue	Improve capabilities of public defenders
VII.	ACTION PLAN	Details how a selected strategy is to be implemented	Assignment of responsibilities; costs and time requirements; expected end results

FOLLOW THROUGH STAGE

VIII.	IMPLEMENTATION	Action plan is implemented	Program development process is activated; management monitors, controls and supports
IX.	EVALUATION	Summative evaluation of an action plan after it has been implemented	Has court delay been reduced from 90 to 60 days?

Figure 4

1. Stages of Policy Planning

We have designed the recommended policy planning process as a three stage process, with each stage involving a series of decision and action steps. This is illustrated in Figure 4.

A. Foundation Stage

Part of policy planning involves providing the foundation upon which specific policy decisions will be made. Here, the perspective is broad. To a significant -- but not absolute -- degree, these foundations may be externally determined (as for example, LEAA's authorizing legislation.) We would expect changes in these policy foundations generally to be incremental and gradual over moderate to long time periods -- though radical and sudden changes can and do sometimes occur. Thus, we would normally expect top management activity in this stage to involve informal deliberations over time, periodic formal reviews (e.g.: annually or semi-annually), and (as needed) periodic formal decision making.

In the recommended policy planning process, the Foundation Stage includes the first three policy planning steps:

Step I   -- Purpose

Step II -- Missions

Step III -- Topics

B. Action Decision Stage

Another set of top management activities during policy planning involve decisions by top management which determine -- in an operational and specific sense -- the nature, direction, mix and balance of the Agency's activities. These decisions are the action-oriented policy decisions of the Agency's top management.

The Action Decision Stage is in a very real sense the heart or core of the policy planning process. In this stage, management makes decisions which provide a transition from general concerns to specific actions (and commit the Agency to these specific actions); which determine the direction and posture of the Agency; which determine how the Agency's resources will need to be allocated; and which determine the activities and responsibilities of staff in carrying Agency policy. Further, in terms of time and frequency, management's efforts would normally be concentrated more around the Action Decions Stage of policy planning than around follow through stages.

In the recommended policy planning process, the Action Decision Stage includes:

Step IV   -- Priority Issues

Step V   -- Goals

Step VI   -- Strategies

Step VII   -- Action Plan

C. Follow Through Stage

Once management has approved an action plan, the plan must be implemented and its impact (on a priority issue) must be evaluated. Management's role becomes primarily to: (1) monitor, review and support staff implementation activities; and (2) as needed utilize impact evaluation findings as a basis for further policy planning.

In the recommended policy planning process, the Follow Through Stage includes:

Step VIII — Implementation

Step IX — Evaluation

2. Action Policy Decisions — The Primary Focus of Management

While management obviously has important roles and responsibilities during each stage and step of policy planning, it is our premise that the basic thrust and purpose of policy planning is to enable Agency management to make well-considered action-oriented policy decisions. The previous discussion has indicated that the recommended policy planning design is based on this premise. We simply repeat the point here as a matter of emphasis.

3. Priority Issues as the Focal Point of Policy Planning

In Part Five of this report, we noted the importance of having a priority issue orientation. The recommended policy planning process is designed, therefore, with the priority issue step as the focal policy decision point which links the focal concerns of the Agency (as reflected in the Agency's purpose and mission) with the Agency's operational activities. Management consideration of Topics provides

a range of possible issues the Agency could address, but it is in the Priority Issue step that decisions are made that commit the Agency to a response. The Priority Issue and Goals steps operate interactively and more or less simultaneously, but unless a priority issue decision is made, the Goal step has no meaning for Agency activity. Finally, the remaining steps of policy planning (Strategies, Action Plan, Implementation, Evaluation) follow directly from and are dependent upon priority issue decisions.

4. Shifts in Involvement and Information Input Patterns

The discussion above has indicated that throughout the steps of policy planning, there are significant shifts in the nature and level of involvement by both management and staff. This is further illustrated in Figure 5. These shifting patterns of involvement become operationally important as we consider the specific personnel and informational requirements at each step.

The points in the process at which LEAA staff can make critical contributions is an important aspect of the policy planning process. To facilitate staff input (either at the request of management or on staff initiative) we will be suggesting the use of decision memos during the Priority Issue, Strategy and Action Plan steps of the policy planning process.

5. Sources of Input to Policy Planning

As is illustrated in Figure 6, the information, ideas and suggestions upon which policy decisions are made may come from a variety of sources both internal and external to LEAA. An obvious source of input to policy planning is LEAA's authorizing legislation — which provides the basic framework of purpose and mission for the Agency.

CONTINUED

2 OF 5

Policy Planning Steps	Involvement of Policy Level Personnel		Involvement of Staff Personnel	
	Level of Involvement	Comment	Level of Involvement	Comment
I — Purpose II — Mission	Moderate	Purpose and Mission are essentially mandated to the Agency from without (the Congress and the Justice Department responding to general societal needs and demands), although the top policy makers of the Agency would generally have some say regarding Mission, and perhaps especially with regard to emphasis and balance across missions.	Low	For Purpose and Mission, input from staff would be occasional. Staff may inform management about how these professional skills and interests relate to specific missions. May alert management to gaps and/or imbalances in mission.
III — Topics	Moderate	Topics identify issues the Agency could address.	Moderate	Staff prepare information and analyses re. topics needed by management; may propose topics
IV — Priority Issues	High	This step involves critical management priority decisions that determine what the Agency does.	Moderate	Staff prepare information and analyses needed by management. May propose priority issues.
V — Goals VI — Strategy	High to Moderate	These steps involve further critical management decisions, but also design activity in developing strategies and identify goals.	Moderate to High	Staff prepare information and analyses needed by management, and propose strategies. Professional knowledge of staff is important.
VII — Action Plan	Moderate	Management provides guidance to plan development; makes decision to approve, modify, reject the action plan. Could sometimes become involved in the details.	High	For the most part, action plans would be designed by program personnel, under guidance of management.
VIII— Implementation	Moderate and Indirect	Management provides guidance, monitoring, control.	High	Implementation activates the program development process.
IX — Evaluation	High	Results of evaluation become feedback to the policy planning process	Moderate	Staff collects and evaluates the end results data about program usage.

Figure Five: Patterns of Involvement and Information Inputs

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┌─────────────────────────┐
│ Authorizing Legislation │
└─────────────────────────┘

┌─────────────────────────┐
│ Research                │
└─────────────────────────┘

┌─────────────────────────┐
│ Practice (State and     │
│ local agencies)         │
└─────────────────────────┘                ┌──────────────────┐
                                           │ Policy Planning  │
┌─────────────────────────┐                └──────────────────┘
│ Societal Concerns       │
│ and Pressures           │
└─────────────────────────┘

┌─────────────────────────┐
│ Political Pressures     │
│  - Governmental         │
│  - Constituencies       │
└─────────────────────────┘

┌─────────────────────────┐
│ LEAA Management         │
│ and Staff               │
└─────────────────────────┘
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Figure 6

Some Sources of Input and Guidance
for Policy Planning

Within LEAA, management obviously has a direct responsibility to provide information, ideas and suggestions to policy planning. It is also obvious that staff have a similar responsibility when requested by management to provide input. It is also important to provide the climate, opportunity and mechanisms for staff to take initiative in providing input to policy planning. We noted this earlier with respect to research, but this principle also applies to other LEAA staff as well.

A number of sources of input for policy planning are external to LEAA. These at least include: research performed external to the Agency, from a variety of fields and disciplines; persons and agencies involved in the operational part of the criminal justice system at the State and local level (i.e., inputs from practice); societal concerns and pressures which arise around particular criminal justice issues and problems; pressures of a political nature from governmental officials or agencies or from the various constituencies of LEAA.

It is the role of management to seek and/or receive information, ideas or suggestions from the variety of sources relevant to the Agency -- and to act upon these in a way that is compatible with the Agency's purpose of (and capabilities for) impacting the criminal justice system. It is in the arena of policy planning that the variety of inputs must be reviewed and sorted out in terms of such matters as priority, feasibility of Agency response, impact on the criminal justice system, political issues that might affect the capability of the Agency to fulfill its purpose and mission, and so on.

6. Relation of Policy Planning to the Agency's General Activities

While we earlier made the caveat that our discussion of policy planning would be oriented to program development, it is also important to emphasize that policy planning provides the decisional direction

for <u>all</u> of the Agency's general activities. This is illustrated
in Figure 7. Specifically: (1) <u>any</u> of the Agency's general
activities can be selected as a response strategy in relation to
a specific priority issue; (2) action plans for any of the Agency's
general activities require policy-level approval; and (3) manage-
ment's role in the implementation and evaluation of approved action
plans is to monitor, guide, review and support all of the Agency's
activities. Further, it is during policy planning that possible
interaction (in terms of synergy or conflict) between all of the
Agency's general activities is considered -- as is illustrated in
Figure 7.
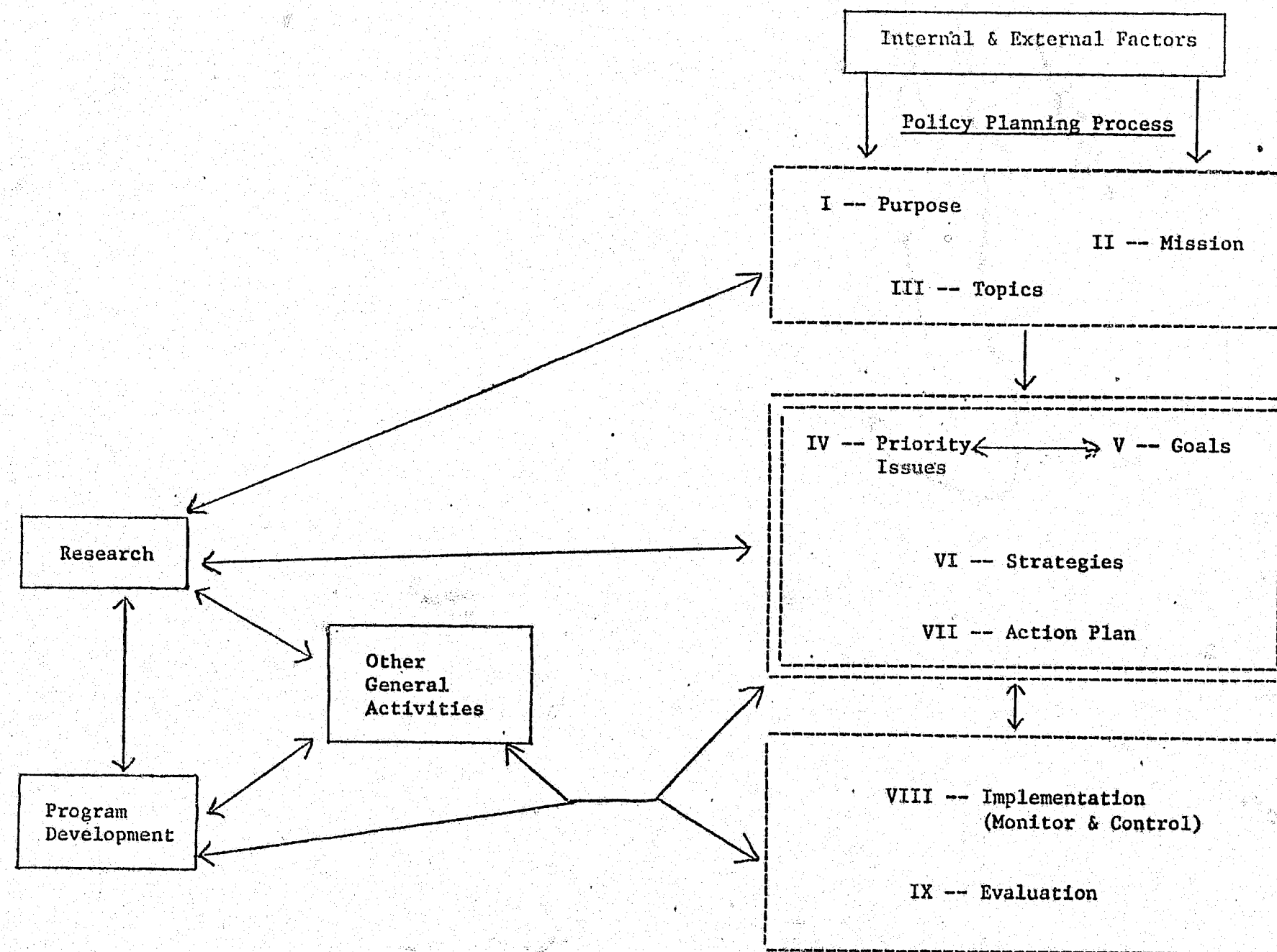
Figure 7 — Policy Planning's Relation to Agency Activities

II. USING THE POLICY PLANNING PROCESS

The discussions in Part Five concerning the use of the policy planning and program development processes are relevant here. A few additional comments specific to the policy planning process may be made here.

1. Sequencing and Flexibility

The logic of the policy planning process is sequential in two respects.

1) The three stages discussed previously do have a sequential flow of logic.

2) More importantly, in terms of formal decisions of the Action Decision Stage, there is a necessity that certain decisions precede other decisions. For example, it is necessary to decide upon a priority and set impact goals before formally selecting a strategy to be developed into an action plan.

3) The steps of Implementation and Evaluation (in the Follow Through Stage) necessarily follow policy decisions to approve an action plan.

We also note that the sequential presentation in figures and in Section III below is in part an artifact of presentation -- i.e., it simplifies presentation.

Having recognized that there is a sequentiality inherent in the logic of policy planning, we can now illustrate in some detail that the use of the model is very interactive and non-rigid.

1) The use of the process is likely to involve a considerable degree of interaction and cycling back and forth across the

steps of policy planning and within each step (e.g.: the selection of a strategy to impact one priority issue may need to take into consideration the positive or negative effect that implementation of the strategy might have on the implementation of a strategy designed to impact a different priority issue).

2) Consideration of a particular strategy may suggest other strategies, may lead to consideration of new priority issues, may indicate that goals previously established are unrealistic. Priority issues, goals, and strategies might be considered concurrently on a preliminary basis in order to obtain information needed for selection decisions; to identify and understand critical inter-relationships across Offices, across priority issues.

3) The Agency's research is an important source of possible topics and strategies.

4) Suggestions for priority issues, strategies, etc. may originate in an informal and unplanned manner and may come from a variety of sources inside or external to the Agency.

5) In an organization involved in research and development and innovation and dealing with difficult and complex issues, one would hope to have a lot of creative thinking going on both within and outside the context of formal policy deliberations.

6) It is equally important in such an organization that new ideas can be channeled into the policy deliberations of top management. We believe the recommended policy planning model will be helpful in this respect by enabling staff to see the linkage between their ideas and the Agency's mission, priority issues, goals, etc. Staff awareness of both the process of policy

planning and the substantive results of top management
deliberations may also serve to channel the thinking of
staff in a way that is more likely to generate relevant
program ideas and focused information input from staff.

7) Certainly, during the initial implementation of the policy
planning process, there would be a need for ex post facto
analyses which reverse the flow of the policy planning
process to rationalize existing Agency activities in terms
of priority issues and goals.

When perceived and used in the ways discussed above, the essential
logic of the policy planning process not only remains intact but also
fosters organizational creativity and innovativeness.

III. STEPS OF THE POLICY PLANNING MODEL

This section describes and discusses each of the nine steps of the policy
planning model. In these descriptions, we will limit ourselves to com-
ments on what we see to be some of the fundamental issues and definitions
that are needed to make the process workable. The models will need to
be developed into a set of instructions, work sheets, etc., by LEAA.
What will be presented here is intended as guidelines to be incorporated
into current and future management and organizational processes of the
Agency.

FOUNDATION STAGE

STEP I   -- PURPOSE

STEP II   -- MISSION

STEP III -- TOPICS

These three steps set the foundations upon which and from which
the actual operational policy decisions of the Agency will be
made. To a significant extent, these foundations are shaped
by external forces. To that extent Steps I, II and III become
"recognizing" and "marshalling" steps: "Do you know where
you are headed?". At the same time, within these parametric
constraints, LEAA management has significant responsibility
and opportunity for matters of interpretation, emphasis,
mix and balance, assuring that significant issues will be
dealt with by the Agency, etc.

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STEP I -- PURPOSE

A statement or purpose is the most basic, overall framework which both defines the reason for an organization's existence and specifies the boundary limits of its activities.

Specifically, the statement of purpose serves to identify an organization's institutional domain -- i.e., its sector, its most basic societal function. Thus, the institutional domain of LEAA resides within the criminal justice and law enforcement sector. The societal function which LEAA serves is society's need for effective, efficient and equitable law enforcement and criminal justice. LEAA's purpose specifically relates to the criminal justice system.

Thus, the basic purpose of LEAA would be stated as follows: to impact and improve the criminal justice system in the United States (primarily in relation to State and local criminal justice agencies).

If organizational activities cannot be rationalized as serving the purpose of the organization, then the activities should be changed or discontinued. Alternatively, the purpose could be changed -- but this would not typically be the case.*

This does not mean that the activities of an organization can never overlap or be coordinated with those of a different sector of society. Rather, such overlap or coordination must be justified as serving the purpose of the organization and its sector. However, it is also to be noted that it is typically at the boundaries of institutional domain that conflict can and does occur in relation to selection of the priority issues an Agency will address and to which it will therefore commit its resources. Such conflicts may lead to changes in definition of purpose from time to time. For

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*While it is valid and important for an organization periodically to re-examine and perhaps redefine its purpose, we note that broad purpose statements are essentially societally defined and in this case mandated through the Congress and Department of Justice, and that societal understandings may change over time.

example, the area of mental health could be and has been variously defined as falling within the legal or the health domains across different historical and cultural environments.

One final distinction may be made here. The purpose of LEAA relates to the criminal justice system. In turn, the purpose of operational criminal justice agencies relates directly to crime and justice in society. Thus, for example, in relation to the issue of arson, LEAA would be concerned with improving the ability of State and local criminal justice agencies to deal with arson -- but LEAA would not be trying to reduce incidents of arson or prosecute arsonists per se. At the same time, it is the direct needs of society regarding crime and justice that determine where, how and why LEAA would attempt to impact the criminal justice system. Thus, the Agency's activities would need to be evaluated both in terms of some indicators of State and local agency capabilities and in terms of actual State and local agency impact on issues of crime and justice.

STEP II -- MISSION

A statement of mission is simply a specification of the general types of activities in which a particular organization is or is not to be engaged. Thus, a mission statement identifies the role domain of the organization.

Thus, the general types of activities which would be germaine to LEAA include: research and evaluation; program development; assistance (training; technical and financial assistance; planning grants); information-related (information gathering; analysis and synthesis; dissemination; information system development); and system building.

On the other hand, the direct operational activities of the law enforcement and criminal justice system (e.g.: prevention, detection,

apprehension, adjudication, retention, rehabilitation) would be
<u>outside</u> of the role domain of LEAA.

Management's roles in this step form around several basic concerns.

The <u>first</u> concern is the extent to which the mission activities
of an organization are externally determined or are determined by the
management of the organization.

In the case of LEAA, the <u>general</u> types of mission activities (as listed
above) are specified or implied by the Agency's authorizing legislation.
Thus, in part, this step of policy planning simply involves the
recognition of existing reality.

Beyond this basic recognition of mandated reality, however, manage-
ment can exercise considerable influence in such matters as: inter-
preting the meaning and intent of the authorizing legislation;
determining matters of mix, balance and relative emphasis across the
mandated general mission activities; the level of management's own
commitment to the various mandated missions of the Agency. Thus,
the positions management takes with regard to the Agency's mission
can often be critical and determinative of what the <u>actual</u> mission
of the Agency will be in an <u>operational</u> sense. For example, the
level of management commitment to a legislatively mandated mission
can lead to the creation or loss of a capability (e.g.: to undertake
research or to provide technical assistance) -- which in turn can
become the basis for winning or losing a mission.

A <u>second</u> concern of management in this step is the way in which the
Offices of the Agency will interact in carrying out the Agency's
mission activities -- e.g.: will the Agency operate: as a unified,
integrated organization; as a set of separate units having some degree
of linkage; or as a set of essentially autonomous and highly diffused
units? This question points to the issue of interaction and congruency

between the Agency's structure, its mission and interaction patterns
among the Agency's top management. (This issue of congruency is
discussed more fully in Part Eight of this report.)

A <u>third</u> concern of management in this step involves the role of LEAA
in relation to other agencies or organizations. Between any two
agencies, there may be overlap as to responsibilities for a given
mission -- with consequent possibilities for synergistic cooperation,
redundancy and/or conflict. For example: what falls within the mission
of LEAA vis-a-vis the rest of the Department of Justice? In what ways
do the missions of other Federal agencies overlap with the mission of
LEAA?

Two other aspects of the Mission step of policy planning many be briefly
noted here.

1) Staff level personnel may be a source of helpful input
regarding what missions they are capable of and have
strong interests in performing.

2) The basic function of this step is to provide a basis for
direction, guidance and control for the work of the Agency.

STEP III -- TOPICS

A topic is a substantive issue or problem (e.g.: arson, career
criminal, etc.) which LEAA considers to be:

1) within the scope of LEAA's purpose and mission and

2) of possible importance for law enforcement and criminal
justice.

A topic, then, is an issue or problem to which LEAA could validly respond.

This step serves three important functions:

1) It specifies the range of issues and problems to which LEAA will give consideration, and from which LEAA will select priority issues (in Step IV).

2) It facilitates consideration and comparison of alternative needs for (or demands upon) the Agency's attention and resources.

3) It facilitates issue oriented policy planning (as contrasted to a solution or strategy orientation).

It is to be noted that specification of a topic does not involve a decision to respond to an issue or problem. Rather, this step provides a list of issues from which the Agency will later select (in Step IV) its priority issues. In this regard, the importance of the Topics step resides in ensuring that the issues from which the Agency will select priority issues are indeed significant and important issues. Otherwise, selecting priority issues becomes meaningless.

Some further brief comments may now be made about this step of policy planning.

1) A variety of methods could be used, of course, to ensure identification of a broad and balanced range of significant topics. These methods could include: ensuring adequate communications with important external sources of topic suggestions; using priority issue Decision Memos

as a means of obtaining and providing information about topic suggestions; requesting staff to prepare analyses arraying topics across each other; etc.

2) Suggestions for topics may come from a variety of sources, both internal and external to the Agency.

Within the Agency, topic suggestions may come from either management or staff. Topic suggestions from staff could result from their involvement in ongoing activities, from their professional knowledge, from the results of research activities, etc.

Many important sources are external to the Agency: the Congress; the President; the Attorney General; other Federal agencies or officials; State and local government criminal justice officials; universities; private research agencies; interest groups or associations; the general public; the news media; etc. LEAA's enabling legislation is a source of topics and a screening device to eliminate inappropriate topics.

3) While it is intended that a broad range of topics be considered, it is not being suggested that all possible topics be considered. This would obviously be an enormous and impractical task.

4) Meaning cannot be given to a Topic statement without reference to either a performance standard or a performance gap. That is, a topic is of possible importance to criminal justice precisely because we have some notion that there is something that must be done, or some

current standard to maintain. Hence, it is clear that at least a preliminary statement of a goal would have to be part of the definition of a Topic. The goal would be refined (as needed) and formalized in the Goals step (Step V). This is yet another illustration of the iterative and cyclical nature of the process.

Performance standards or gaps can, of course, be stated in many ways. However, since LEAA's purpose relates to the criminal justice system, it would be important to take into consideration society's criteria for evaluating the criminal justice system: effectiveness, efficiency and equity.

- **Effectiveness** refers to degree of impact.

- **Efficiency** refers to cost in relation to benefits.

- **Equity** refers to society's values concerning fairness.

These performance criteria would provide guidelines for the next three steps of policy planning -- i.e.: for determining the importance of responding to a topic by designating it as a priority issue; for determining the nature and level of impact goals to be achieved; for determining the usefulness of particular strategies or combination of strategies being considered to impact a priority issue. Consideration of effectiveness, efficiency and equity may also indicate further research is needed before final decisions can be made about priority issues, goals and/or strategies. Finally, we note that these three criteria would permit policy decisions to be made from several different yet interrelated impact perspectives.

5) It is obvious that topics may be either broadly defined (e.g.: type of crime) or narrowly defined (e.g.: incidents of arson in high rise buildings). How broadly or narrowly LEAA would want its topics to be is, of course, a matter for LEAA to decide. However, considering a suggested topic at different levels of specificity (and using different taxonomies) may help suggest new topics, interactions between topics, etc. Different levels of topic specificity can be illustrated as follows:

```
┌─────────────────┐
│ Crime Reduction │
└──────┬──────────┘
       │     ┌ Type of Criminal
       └──→    Type of Victim
             └ ┌─────────────┐
               │ Type of Crime │
               └──────┬────────┘
                      │     ┌ Interstate Crime
                      └──→    White Collar Crime
                            └ ┌──────────────┐
                              │ Violent Crime │
                              └──────┬─────────┘
                                     │     ┌ In Large Cities
                                     └──→    Assassination
                                           └ ┌────────────┐
                                             │ In the Home │
                                             └──────┬───────┘
                                                    │
                                              ┌──────────────┐
                                              │ Child Abuse   │
                                              └──────────────┘
```
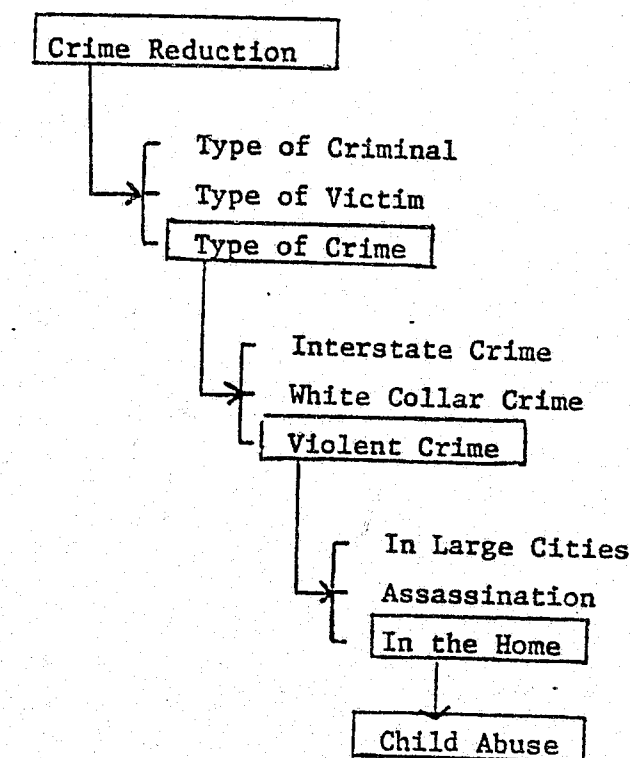
From another perspective, different levels of topic specificity could be illustrated as follows:

Crime and Justice

Actors   Incidents   Responses

Witnesses   Criminals   Victims

Criminal   Civil

Crime   Crime   Justice
Reduction   Prevention   Adminis-
                                      tration
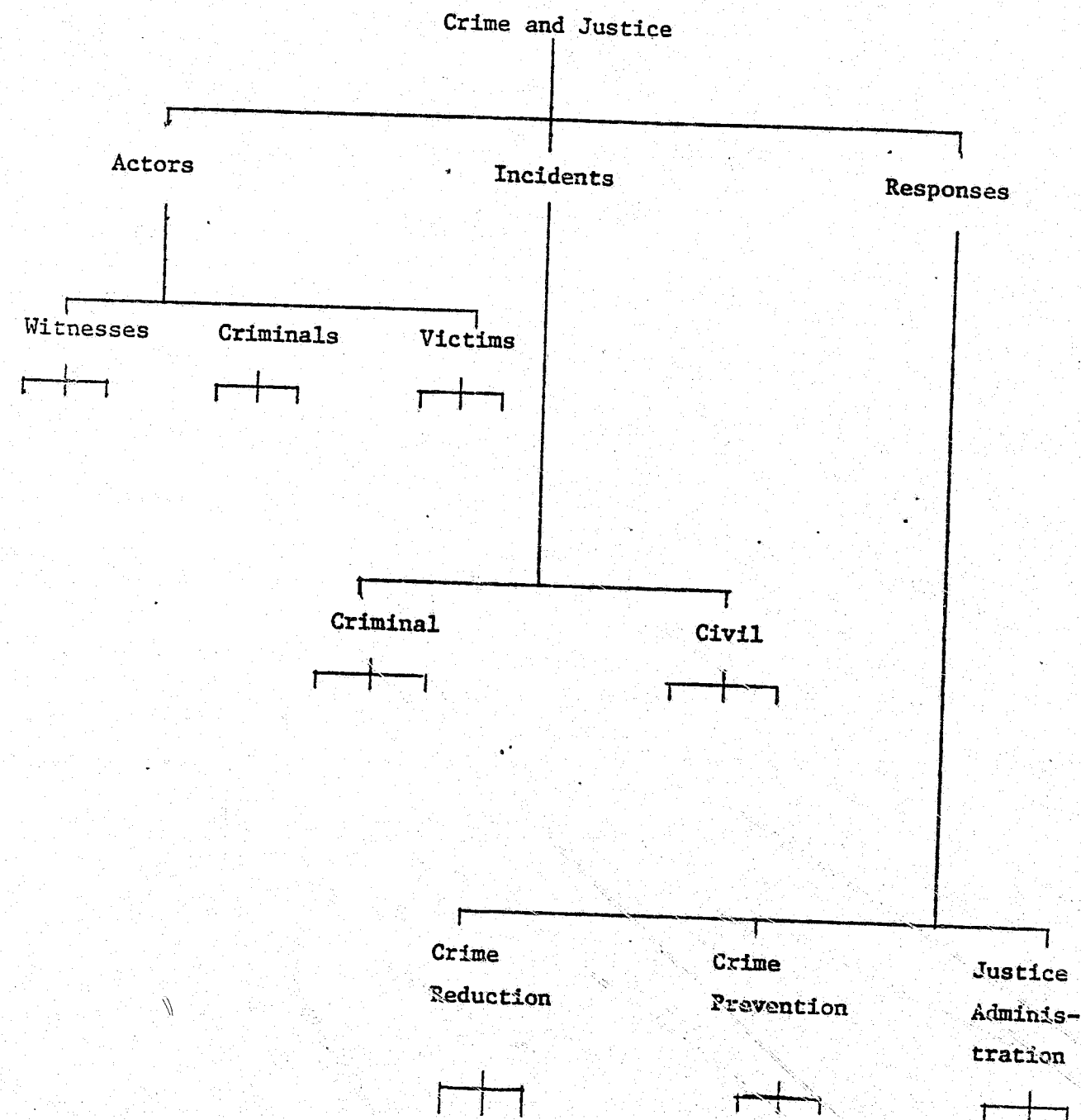
It is obvious from the above discussion that the Agency will need
mechanisms for marshalling a broad but feasible range of significant
topics; for obtaining adequate, appropriate and useful information
about these topics; and for arraying them in a manner which permits
examination of how they interact with each other. This is a matter
which will need to be given further study along the lines discussed
in Part Ten.

ACTION DECISION STAGE

STEP IV -- PIORITY ISSUES   STEP V -- GOALS

STEP VI -- STRATEGIES

STEP VII -- ACTION PLAN

The Action Decision Stage is the core and fulcrum of the
policy planning process. These four steps bring the
broad concerns of purpose and mission and the range of
possible topics to a point of focus and decision in
a manner which makes possible the operational develop-
ment and implementation of Agency policy. It is therefore
here that management attention and effort is most con-
centrated. Decisions made in this stage set the tone for
the Agency as a whole, for the basic units of LEAA, and
for the ongoing work of staff.

STEP IV -- PRIORITY ISSUES

Priority issues are Topics which have been selected by management as issues to which the Agency will attempt to respond.

As noted earlier, this selection of priority issues is central to the entire policy planning process. The previous steps provide the basic framework for the priority decisions, and the steps which follow flow from selected priority issues. This, then, is the step at which management performs one of its most basic and important functions -- the choosing of priorities.

One effect of viewing the selection of priority issues as central to the policy planning process is that the Agency focuses on issues rather than solutions. Further, this issue-focus facilitates: (a) the setting of goals in terms of impact; and (b) the consideration of alternative ways to achieve the desired level of impact (strategies).

Because of the central and critical importance of priority issue decisions, it is our view that Step IV needs to be given a significant amount of management's time and attention. It is important to emphasize this point here -- both because the choice of priorities critically impacts the nature and work of an organization and because it is not at all uncommon for the management of an organization to become involved in implementation activities to the detriment of priority setting.

Several aspects of the process of selecting priority issues may now be noted.

A. Criteria

Since priority issues are selected by management from the set of topics identified in Step III, there must be some criteria by which this prioritizing can be made. While the establishment

of the criteria is itself an LEAA policy decision, we may here suggest consideration of the following criteria.

1) An issue is consistent with the purpose and mission of LEAA.

2) An issue may be mandated by the Congress (or by the President or the Attorney General) -- either broadly or narrowly.

   In an obvious sense, there would be no selection decision to be made in this case. At the same time, however, there are selection decisions even here in terms of interpretation and further narrowing of the mandated issue.

3) The issue is important (in terms of magnitude, degree of public concern, urgency, etc.)

4) The Agency has the authority and capability to respond to the concern.

   This capability may include: knowledge; skills; financing; linkages with other R&D institutions, State and local agencies.

5) The issue is not being addressed by other public or private organizations -- or, a multiplying synergy can be developed by working with other organizations on the issue -- or, working with other organizations would serve important system building purposes.

6) The issue is part of a set of narrowly-defined issues which are not individually critical but could together provide an important priority issue portfolio.

This is an important point. It would be a mistake to evaluate potential priority issues separately. Issues do interact with each other in important ways. A portfolio of synergistically related priority issues can have a multiplier effect in terms of breadth and level of impact -- and may also require less resources than if each were treated separately.

7) Relatedly, the issue is one where the response might also impact other issues -- e.g.: a response to the issue of arson could conceivably not only impact the crime of arson per se, but might also: impact the issue of "white collar crime"; result in system building (through cooperative activities among several criminal justice agencies); and result in increased support for criminal justice agencies.

8) The total set of selected priority issues provides the kinds of balance desired by the Agency across its missions, across criminal justice functions, etc.

9) Consideration would be given to such matters as: feasibility; tentative cost projections; long term implications; management commitment to a particular issue; whether LEAA's response might (as a by-product) also impact other societal issues or problems.

B. Priority Issue Decision Memos

We are suggesting the use of Priority Issue Decision Memos (as illustrated in Figure 8) to provide management with the recommendations and information it needs to select priority issues.

Figure 8

Priority Issue Decision Memo

Use:
1. To propose an issue for consideration as an LEAA Priority Issue.

2. May also be used as documentation and justification for an existing Priority Issue.

Contents:
1. Name of Issue.

2. Source of the topic proposal.

3. Description of relation to LEAA mission area, to LEAA legislation.

4. Reason for priority recommendation.

5. Nature and extent of the problem.

6. Proposed goals and indicators used to monitor the Issue.

7. Current state of issue (as per indicators), if available.

8. Potential (preliminary) solution strategies and program development tactics.

9. Possible organizational responsibilities.

10. Next steps to be taken, staff to be assigned, etc.

Flow:
1. Prepared by LEAA staff, either

a. Designated by management (e.g.: for topic being considered by them), or

b. Self selected.

2. Submitted to management for approval

a. Initially into "acceptable" topics list

b. At appropriate times will be assigned (or denied) a priority (this can be both a continuing and a scheduled process).

3. If selected as a Priority Issue, assigned by management for preparation of a Strategy Decision Memo.

Priority Issue Decision Memos could be initiated either by man-
agement or staff. If a _suggested_ priority issue originates
from an external source (or from management), management could
assign a person, unit or group to prepare a Priority Issue
Decision Memo. Staff could use the memo to suggest topics to
management for consideration as a possible priority issue.

Three brief comments may be made here.

First, the use of Priority Issue Decision Memos should facilitate
the development on an issue-orientation within the Agency.

Second, although priority issue decisions are generally made dur-
ing an annual planning event (in the proposed policy planning model),
it is recognized that from time to time, topics emerge which someone
feels should be addressed as soon as possible (arson, skyjacking,
prison riots). The use of the Priority Issue Decision Memo could
facilitate the recommendation of such a proposed topic for Agency
consideration.

Third, while the memo provides a mechanism for staff to take ini-
tiative in suggesting priority issues, it is also important to give
staff the kind of latitude in resource allocation discussed earlier
that would enable them to generate suggestions that fall outside
current Agency thinking.

We may also note that we will later suggest two additional
decision memos in relation to strategies and action plans.
While we are suggesting these as three separate decision
memos, a single memo format could be considered. Our con-
cern is not with the form but with the need for information
to be provided for and focused around _specific_ policy decision
points.

C. An Iterative Process

In many instances, we would expect that much of the information
needed would not be available until consideration has been given
to goals, strategies, and action plans. Thus, information develop-
ed in Steps V, VI, and VII would be fed back to Step IV for further
consideration of priority issues. Further, as we noted in the
discussion of the Topics step, research may be needed before a
priority issue decision can be made. Thus, points reinforce
the fact that while the _logic_ of the recommended policy plan-
ning process is linear, the _process_ is very iterative and cyclical.

D. Staff Involvement

It is anticipated that staff would have a significant degree of
involvement in this step in terms of providing information and
analyses to management through the preparation of Priority Issue
Decision Memos.

E. Decision Processes

It was beyond the scope of our assignment to investigate and to
recommend possible decision models that might be used to make
priority determinations across alternative topics. We only
point out that such models (e.g.: scoring models) do exist
in the literature, and that one of these could be applied to
the criteria listed in item A above. Specifically, this could
involve a relatively informal review of alternatives in the
light of the criteria. Alternatively, some formal and numeric
type of process of assigning weights to each of the criteria
identified could be used. This could involve some process of
scoring each alternative topic on each of the criteria, and
then combining the scores (through various possible procedures)
into some index of choice. Even more complex types of opera-

tions research based project selection models are available --
but these would not, seem to be appropriate to the type of de-
cision context involved.* We will comment further on this con-
cern for decision models in Part Ten.

STEP V -- GOALS

By specifying intended levels of impact, Goals provide the crucial
link between the Agency's choice of priority issues and the activities
the Agency engages in to impact these issues.

Specifically, goals provide a priority issue _impact_ basis for:

1) making choices among alternative strategies (in Step VI)

2) accepting, rejecting or modifying action plans (in Step VII)

3) monitoring by top management of progress in the implmen-
tation of action plans (in Step VIII)

4) evaluating the impact of a selected strategy once it has
been implemented in the field (in Step IX).

As we noted earlier, consideration of goals occurs at each step of
policy planning. Indeed, we may properly speak of a hierarchy of
goals. Thus, for example, the goals related to the Agency's mission
(e.g.: build a strong R&D capability) and even those associated
with topics (such as reduce the rate of a given crime to some
socially acceptable level) provide a general goal umbrella over
what may become a large number of specific activities, programs,
etc. These goals are likely to remain essentially valid for extended
time periods. By contrast the goals attached to specify strategies
and programs would tend to be far more limited and far more subject
to change (as programs and conditions change over time).

*We are very familiar with all aspects of this literature, and
could make such information available, if requested.

We have included a specific Goals step to indicate that when the Agency decides to respond to a specific priority issue, a specific level of desired goal attainment needs to be formally stated in order to provide a basis for: (a) selecting appropriate strategies; and (b) measuring and evaluating the impact of the use of selected strategies. We place this Goals step here because the Agency's goals should be formalized at a level involving some substantial level of specificity, but still at a level that allows for some continuity of planning and evaluation. Goals formalized in relation to priority issues meet these dual criteria.

Several aspects of goals and the process for setting goals must be taken into consideration if specified goals are to be useful in serving the functions noted above.

First, the goals need to be stated in terms of impact on the priority issue rather than in terms of tasks to be performed. Goals should facilitate the measurement and evaluation of the Agency's activities in terms of outputs (results) rather than inputs (doing of tasks).

Second, goals need to reflect a level of accomplishment that is deemed to be at least potentially achievable. In this regard, two further comments need to be made.

1) Goals specified by the Agency in relation to a priority issue are likely to be different from ultimate or ideal goals which may be socially desirable but which may not be feasible in many cases. (This may at times be the case for preliminary goal statements developed when topics are identified in Step III.)

2) Goals may be set in an incremental, cumulative manner. Thus, a series of short term goals may be set which, if obtained, may lead to a greater long term impact.

Third, in some cases it may be that a set of strategies are selected to impact a priority issue in a cumulative manner. In these cases, a single strategy would be evaluated on the basis of the extent to which it contributes to the accomplishment of the specified impact goal.

Fourth, there may be a significant degree of iteration between the Goals step and research. Further research may be needed to determine what level of impact (i.e., a goal) is feasible and/or desirable. Another approach might at times be to set a goal on a tentative basis, where there is reason to believe that solution-focused research would lead to the development of an effective response strategy.

Fifth, the concept of setting potentially achievable goals suggests an iterative relationship between the Goals step and other steps of Policy Planning. For example, a close examination of alternative strategies may suggest the need to modify (either up or down) the goal initially set in the Goals step. Similarly, during the Action Plan and Implementation steps, assumptions about the feasibility and effectiveness of a selected strategy may be called into question — leading to a reconsideration of alternative strategies and/or of goals, or even of the priority issue.

Sixth, the Priority Issue and Goals steps are highly interrelated. As noted earlier, these steps inform each other, and in a sense they occur more or less simultaneously. We have established them as separate steps of policy planning primarily to highlight the importance of setting specific impact goals -- and to ensure that the setting of impact goals is given separate attention.

Finally, it will be important to establish indicators with which to monitor and evaluate the impact that selected strategies actually have on established goals. We do, of course, recognize the difficulties and issues related to measurement and evaluation of "impact" in social science fields such as criminal justice.

STEP VI -- STRATEGIES

A strategy is simply a type of approach or action which one has reason to believe would have an impact on a priority issue (in terms of some specified impact goal). Thus, priority issues are what the Agency is going to attempt to impact -- while strategies are how the Agency proposes to impact the priority issue.

The Agency's general activities (research, program development, assistance, etc.) provide the set of basic types of strategies used by the Agency, with more narrowly defined and issue-specific strategies being developed within and across these general activities.

There are two dimensions of a strategy which should be emphasized here:

1) Strategies are considered and selected in reference to specific priority issues.

2) Strategies are selected in terms of their capability to impact a specific priority issue goal.

Several further aspects of the selection of strategies merit further discussion.

A. Consideration of Alternative Strategies

It is obviously possible to consider a number of strategies which might impact a specific priority issue.

The point to be emphasized here is the importance of considering possible alternative strategies in order to take into consideration such matters as:

1) relative cost/effectiveness;*

2) potential complementarity and synergy or conflict: across a set of strategies;

3) short term vs. long term implications for: impact on a priority issue; resource requirements; effects on the Agency's overall posture vis-a-vis its mission; capabilities of the Agency to implement different strategies; etc.;

4) potential secondary effects (positive or negative) of different strategies;

5) time required to obtain the desired impact.

B. Strategy Portfolios

It may well be the case that a combination or set of strategies could be selected to impact a particular priority issue -- thereby creating, in effect, a strategy portfolio. Such a strategy portfolio could be useful in such instances as the following:

1) No single strategy is deemed adequate, but a set of strategies would (in a cumulative manner) likely have the desired level of impact on the priority issue.

2) Two or more strategies interact in a synergistic manner to produce greater impact than either would alone. This could hold true in relation to a single priority issue; or , a strategy being considered in relation to one priority issue might also interact synergistically with strategies being used to impact other priority issues.

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*This would include questions of additional funding or work in areas already "in process" within the Agency.

3) Consideration could be given to the total portfolio of strategies in relation to each of the criminal justice functions.

4) At the time strategies are being considered, it is not yet clear which (or what combination) would be most effective; or what the real costs are likely to be. In this case, several strategies might be pursued on a trial or experimental basis. This, of course, would call for monitoring and periodic reevaluation of the initial strategy selection decision.

C. Criteria for Selection of Strategies

A number of criteria might be suggested for evaluating and selecting strategies from the alternative strategies being considered. What criteria to use is an LEAA policy decision, but the discussion above and throughout this report suggests consideration of the following possible criteria:

1) level of impact on the priority issue (as stated in terms of goals)

2) type of impact (in terms of effectiveness, efficiency and/ or equity)

3) secondary impacts (positive or negative)

4) costs and other resource requirements for both LEAA and/ or users

5) personnel/organizational capability requirements, vis-a-vis availability of these capabilities (for both LEAA and users)

6) interaction effects (complementarity, synergy, conflict) -- in terms of a possible strategy portfolio for a specified priority issue; in terms of strategies being used (or considered) for other priority issues.

7) time requirements for implementation of the strategy vis a vis how quickly implementation of a strategy is required, or how long it would take for the strategy to produce the desired impact.

D Strategy Decision Memo

As in the case of priority issue selection, we are proposing the use of a Strategy Decision Memo.* A person or group would be assigned to prepare a Strategy Decision Memo for each strategy being considered.

Strategies and sub-strategies may come from LEAA staff, Congress, the Administration, criminal justice agencies, etc. The Strategy Decision Memo would indicate the priority issue it is addressing and the source of the proposed strategy. There should be some discussion of the alternatives considered and the pros and cons of each in terms of specified criteria (such as those noted above).

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*Unlike the Priority Issue Decision Memo, we are not providing a detailed outline (since the general format would be similar), but we will describe the basic content.

A preliminary indication of the expected action plan would be included indicating the current state of the art; an assessment of user capabilities of implementing the strategy if it is successfully developed; the monitoring process required; etc. Finally, a recommendation should be included as to what person, unit or group should be involved in developing an action plan.

E. Interaction With Other Steps and Other Strategies

Our discussion of policy planning has emphasized the interactive nature of the steps of policy planning. This type of interaction across steps is especially important in relation to the Strategy step.

The linear logic and flow of the policy planning model has already been noted -- and it is critical that priority issue decisions precede decisions to select strategies. At the same time, it is equally important to emphasize that for the purposes of evaluating strategies and of developing ideas for strategies:

- A strategy can be initially suggested from a variety of internal and external sources -- with or without initial reference to a specified Agency priority. Thus, in some cases, suggestion of a strategy may lead to a new priority issue or modification of an existing priority issue.

- By matrixing a suggested strategy with the various policy issues of the Agency, there may emerge new insights and perspectives about what priority issues a strategy might impact, possibilities for new priority issues, etc.

- In a similar vein, by matrixing a suggested strategy with other strategies, new insights may be gained for strategy portfolios, new strategies, modification of the suggested strategy, etc.

This interactiveness with priority issues and other strategies is very important. We caution against the danger that the linear flow of the decisions in the policy planning process might be interpreted as the only way strategy ideas can be initiated or evaluated. Two ways to encourage more flexible and comprehensive consideration of strategies would be to:

1) encourage the use of strategy decision memos as an internal mechanism for suggesting new strategies for top management consideration; and

2) in strategy decision memos requested by top management, include a matrixing of a selected strategy with several of the Agency's priority issues (as relevant).

STEP VII -- ACTION PLANS

Once a strategy (or set of strategies) has been selected, the obvious next step is to determine how a selected strategy is to be implemented. Thus, the Action Plan step of policy planning involves:

1) the <u>development</u> by staff (upon assignment by top management)* of a plan of action which specifies:

    a) tasks, events, responsibilities, dates, milestones, costs, requirements for monitoring -- projected over the life of the plan;

    b) end results for each step of the action plan (to guide the activities of staff and provide management with a basis for monitoring the implementation of the action plan);

    c) specification of points and mechanisms for linkages between steps of the action plan and (as relevant) between units of an Office and/or between Offices.

2) <u>review</u> by top management -- and possible reassignment to staff for modification;

3) <u>decision</u> by top management to approve, modify or reject the action plan;

4) as needed, <u>reconsideration</u> of strategies or goals.

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*On occasion, staff might initiate the development of an action plan (in outline form) in order to demonstrate to top management the merits of a strategy being proposed by staff.

In some cases, review of an action plan may indicate that implementation of a selected strategy would not be as effective and/or as feasible as had been assumed. It is sometimes the case that effectiveness, costs, constraints, etc. cannot readily be determined until an actual attempt is made to operationalize a strategy into an action plan (or even until an attempt is made to implement the plan). In these cases, there would be a recycling back to previous Strategy, Goal, and/or Priority Issue steps. The results of this recycling could be the selection of a different strategy; a changing of goals or the approval of complementary strategies which would permit the action plan to be approved; or even a change in an earlier priority issue decision.

As the Action Plan step calls for a decision by top management, we are suggesting the development and use here of a Action Plan Decision Memeo. This memo would project, through the foreseeable life of the selected strategy, the items specified on the previous page above.

If the decision is to approve the action plan, the next step would be to implement the plan. Acceptance would imply tentative budget allocations along the lines of the approved plan.

Implementation of the action plan would be delegated by management to staff, as specified in the approved plan. Management would monitor implementation in terms of the objectives of the plan, the end results specified for each step of the plan, and other milestones specified in the approved plan.

As we will discuss in Part Eight of this report, Division managers have an important linking responsibility in the Action Plan step in terms of assigning responsibilities to develop the action plan;

communicating to staff what is the nature and intent of the selected strategy, how the selected strategy relates to the policy issue and to other activities, etc.; reviewing the proposed action with top management; etc.

The importance of an action plan can be seen from several perspectives:

1) It provides a basis (or a blueprint) for translating goals and strategies into action.

2) Because the action plan covers the foreseeable life of the strategy, it facilitates a multi-year perspective. Such a perspective could lead to a multi-year funding of grants -- thereby reducing the administrative requirements and paperwork associated with yearly continuation grants.

3) The action plan links the policy planning process (and LEAA's general activities -- program development, assistance, etc.) with LEAA's other basic management processes. Specifically the action plan would be used as a basis for budget requests, MBO and work plans.

4) The action plan provides the basis for monitoring and review by top management during the implementation of the selected strategy.

Specifically in relation to program development as the selected strategy, we may make the following comments.

First, the action plan would specify how each step of program development is to be accomplished (i.e., tasks, events, end results, etc.) -- and when and how the transition between each step is to be accomplished.

Second, the action plan typically would involve a detailing of all steps of the program development process. However, under certain circumstances, the action plan could:

1) start at any step of the program development process (e.g.: if a program design has already been developed and tested elsewhere, the action plan could start with the marketing step of program development);

2) stop at any step of the program development process (e.g.: there may be sufficient doubt about the feasibility of a program that management would want to see the results of prototype or field testing before making any decisions to develop the program any further);

3) combine or skip steps (e.g.: if a program involved very high costs, the Field Test step might be used for demonstration purposes, a demonstration omitted).

Instances such as these are permissible, but are exceptions and thereby should be specifically justified.

Finally, we note that as needed and appropriate, consideration would be given in this step to alternative action plans (for a selected strategy), and/or alternatives for specific aspects of a particular action plan (e.g.: kinds of training to include).

FOLLOW THROUGH STAGE

STEP VIII -- IMPLEMENTATION

STEP IX -- EVALUATION

This stage represents the carrying out or operationalizing of the policy decisions made in the previous Steps IV - VII. In most instances, implementation is performed by staff -- with management's role being that of monitoring, review, guidance and providing support or removing obstacles (internal or external) as needed. The results of evaluation are fed back into the overall policy planning process for consideration by management.

STEP VIII -- IMPLEMENTATION

Upon approval of an action plan, the next step is to implement the plan. Implementation responsibility and authority is assigned to staff, as specified in the action plan. Management responsibility during this step involves monitoring, review, guidance and, as needed, helping to remove obstacles to implementation.

The action plan would have specified responsibilities, milestones and end results for each step of the action plan. These would become part of the individual staff MBO statements. These MBO statements, along with scheduled periodic review of specified milestones, provide management with the mechanisms for monitoring the implementation of the action plan -- leading, as needed, to re-approvals or authorizations of changes in the action plans. The net result is that a truly management-by-objectives style is facilitated, leaving top management to focus on policy, decision making, and monitoring, while the remainder of the organization has clearcut implementation responsibility and authority.

With respect specifically to program development as the selected strategy, the implementation step of policy planning is, in effect, the formal activation of the program development process.

The nature of the implementation process and the role of top management merit further discussion here.

During the process of implementation, a number of things may happen that could effect implementation of an action plan. The magnitude of the priority issue to which the action plan is addressed may change. New insights about the priority issue may be developed --

either through the implementation of the action plan, through staff work on other activities, or through top-management policy deliberation. Aspects of the context in which the action plan would be implemented in the field may change. The implementation process may suggest: additional alternative strategies; modifications in the action plan; additional requirements which must be met if the action plan is to have the desired impact on the priority issues; or unanticipated opportunities to use the selected strategy, perhaps with some minor or major modifications.

Dynamics such as these highlight the importance of top management's role to monitor, review, guide and assist the implementation of an action plan. Thus, in its periodic review of implementation, top management would be focusing on such concerns as: indication of progress toward end results for each step of the action plan; changes in resource requirements; the extent to which implementation of the action plan may be resulting in a change in the nature and/or use of the selected strategy; identification of potential new opportunities for use of the selected strategy (either in its current or in modified form) and the requirements for capitalizing on these opportunities; the possible need for top management assistance to overcome internal or external obstacles to implementation; the implication for action plan implementation on top management policy decision and/or on other Agency activities.

Review and monitoring by top management of action plan implementation thus serves two important functions:

1) ensuring control of the implementation process; and

2) permitting management to determine how the implementation of the various activities of the Agency may be (in a

cumulative and interactive manner) effecting the direction, posture or capabilities of the Agency with respect to its purpose and mission and/or with respect to the priority issues the Agency has chosen to address.

In addition to its reviewing and monitoring roles, top management's roles also include, as needed, removing internal or external obstacles to implementation. In some cases, this role of top management may be as important to successful implementation as the direct implementation activities of staff.

STEP IX -- EVALUATION

As a step in policy planning, evaluation is the process for ascertaining the impact of implemented action plans. Evaluation is made in reference to the priority issue impact goals specified in Step V above.

Evaluation provides the specific data needed to determine the extent to which the Agency is impacting a priority issue. If the priority issue goal is not being adequately impacted, evaluation would signal that consideration of another strategy may be appropriate -- or perhaps a shift of funds or efforts to a more amenable priority issue.

Evaluation should also provide a basis for organizational learning as to the Agency's management processes. Thus, evaluation should enable the Agency to make a self-analysis about how its earlier policy decisions were made, whether the decisions were effective or not (and why or why not), how the policy planning process could be improved, etc.

The data collection and analysis aspects of evaluation are responsibilities assigned to staff in accordance with the action plan. The results of the evaluation are provided to management as feedback into the policy planning process.

With respect to program development, the nature of evaluation has been briefly discussed earlier and will be discussed further in relation to the program development model.

The specific methodologies and processes to be used in this step would be determined by LEAA staff in terms of the availability, appropriateness and effectiveness of evaluative methodology; the nature and availability of data needed for evaluation (as well as cost consideration); the nature of the priority issue and the selected strategies; etc.

PART SEVEN

RECOMMENDATIONS FOR PROGRAM DEVELOPMENT

TABLE OF CONTENTS

RECOMMENDATION:

We recommend that LEAA adopt and implement the program development process described in Section II below.

The program development process is activated when an action plan for program development is approved by top management for implementation.

In Part Three of this report, we noted that APDP is an essentially sound process. We also noted that the Steps Four through Seven of APDP (Program Design, Testing, Demonstation, and Marketing) are the steps which specifically focus on program development activities, and suggested that these should be separated out and somewhat further elaborated. The program development process described here represents an elaboration of these program development steps of APDP.

In this section, we will first discuss the nature of the proposed model for program development. We will then discuss each of the recommended steps separately.

I. THE NATURE OF THE PROGRAM DEVELOPMENT PROCESS

The recommended program development model includes seven steps:

I — Program Design
II — Prototype Testing
III — Field Testing
IV — Program Packaging
V — Demonstration
VI — Marketing
VII — Utilization Assistance

Steps II and III represent a splitting of APDP Step Five into separate steps to remove confusion about testing and thus to permit testing activities which clearly focus around the different purposes of and types of evaluation used in prototype and field testing. This was an area where staff expressed a significant degree of confusion.

Steps IV and VII represent new steps which we believe will give added clarity and focus to the functions involved in these steps. The addition of the Program Packaging step should help resolve some of the difficulties experienced by staff in relation to LEAA's incentive program. The Utilization Assistance step goes beyond the traditional technical assistance given during implementation, by focusing more broadly on the Agency's responsibility for involvement with the user after initial implementation, in order to sustain the use of the program over time. Beyond these modest design modifications, we have focused our attention on clarifying and elaborating the steps.

Because of the developmental nature of the program development process, we would not expect the order of the steps to be changed when a program is being developed. What one would more often

expect would be a cycling back to earlier steps as needs and problems occur.

It is also important to note that under certain circumstances, steps may be skipped or accomplished simultaneously. We will suggest some situations where this might be appropriate. We feel that written specific justification must be required in that event, explaining why a particular step is unnecessary in a particular situation, hence not destroying the logic of the process.

Another important aspect involves what, in effect, becomes a looking forward and backward at each step. Concern should always be given to the needs and problems of subsequent steps and how these can be helped or avoided by prior planning or design. Thus a program could be made more or less easy to market depending on its design characteristics, and depending on information obtained during the Demonstration step. Similarly, at each step there should be a looking back to ask such questions as: Is the program being developed in accordance with program design specifications and with the intent of top management in approving the program for development -- or have subtle changes affected the nature of the program? Do we have reason to believe that the program will have less, or more, impact on the priority issue than had been anticipated when the program was approved? Can we identify new opportunities for using this program, perhaps with modification?

We also note that coordination issues involved in going from one step to the next (which often involves a "handing off" between Offices or between staff within an Office) must be dealt with if the program development process is to function effectively. We will discuss issues of integration and coordination in Part Eight of this report. Here we will simply make a few brief observations. There are differenct mechanisms for coordination which might be appropriately

used. The point to be made here is that whatever coordination mechanism is used, it should be specified in the action plan for a program. This may be done on a general basis (i.e., for all programs), or on a program-by-program basis. It is to be emphasized that the responsibility for the development of a given program should be specified in the action plan.

Finally, it must be noted that research, testing and evaluation are activities in their own right. That is, they may be included in a program development process -- but they also may occur in cases where the development of a program is not involved. Simply put, not all research, testing and evaluation activities take place within the Agency's program development process.

II. STEPS OF THE PROGRAM DEVELOPMENT PROCESS

With the above introduction, we now turn to discussion of each of
the steps in the elaborated Program Development Process.

Each of these steps will be discussed under the following headings:

A. Basic Tasks - to be performed

B. Sub Task Activities

.C. End Results - to be expected

D. Some Critical Types of Concern - some, though certainly
not all, of the questions that should be considered in a
consciousness raising mode.

Figure 9 provides a brief summary description of the steps of
program development.

STEP	PURPOSE	BASIC TASKS	END RESULTS
STEP I PROGRAM DESIGN	An elaboration of a selected strategy into a package of programmatic activities, specifications and related materials to be implemented by the target user.	Elaborate the selected strategy, and develop a summative evaluation plan.	Package of programmatic activities, specifications and related materials to be implemented, including a summative evaluation plan.
STEP II PROTOTYPE TESTING	Try-out of the program design to work out bugs and fill in gaps. The process rather than the end results is the focus of monitoring and evaluation.	Identify weaknesses and modify the program design.	A program design sufficiently refined to permit field test validation; guidelines for redesign, or justification for recycling to policy planning.
STEP III FIELD TEST	The implementation of the program design at several sites selected to be representative of the range of intended users. It serves to determine its impact on the priority issue and its generalizability.	Conduct a field test to assess the internal and external validity of a program.	Level of confidence in the effectiveness of the program in relation to the priority issue which it addresses; and the useability of the program by intended users.
STEP IV PROGRAM PACKAGE	A form of package marketable to and useable by intended users. Includes descriptions of program processes and activities; staffing requirements, procedures and forms, materials for administrators on costs, staffing and training requirements, and description of the nature and logic of the program, steps, methodologies, etc.	Decide upon, develop, and publish a field tested program design in a packaged format.	A program design packaged suitable for marketing to and implementation by a user.
STEP V DEMONSTRATION	Demonstrate to potential users that the program could be used in various locations, and as a pre-marketing activity to encourage target users to adopt the program.	Implementation of the program in selected sites around the nation, evaluating results.	Program visibility and credibility, user knowledge concerning how, why, etc., and building user confidence in the program.
STEP VI MARKETING	A planned, integrated effort encouraging users to adopt the program. Includes such activities as: incentive, funding, workshops, presentations, technical assistance, test site visits, brochures, and training programs.	Convince agency decision makers to adopt and implement the program package.	The outcome of the marketing step will be the adoption of the program by various users throughout the United States.
STEP VII UTILIZATION ASSISTANCE	To sustain the success of the program over time in adopting agencies. Occurs after implementation, involves visits to demonstration sites, staff training, technical assistance, etc.	Provide assistance to users in their on-going utilization of the program package.	Effective utilization of the program by users, on a sustained basis, as indicated by the institutionalization of the program.

Figure 9 - Program Development Model

STEP I -- PROGRAM DESIGN

(Current APDP Step Four)

A program design is the elaboration of a selected program development strategy into the specific activities to be engaged in by the ultimate user of the program. It is the first attempt at creating the program package which will be used later in marketing. In fact, if testing results in few modifications of the program, the program design would be very similar to the eventual program package. Thus the purpose of the program design is to translate the selected strategy into a package of programmatic activities, specifications and related materials which would be implemented by the target user (police agency, prison, etc.).

There are certain circumstances where the Program Design step may require only minimal activity. If the program has already been designed by another federal agency or by some State or local agency, that would be an excellent justification for merely documenting the information required in this step -- after ensuring that all of the tasks have been accomplished and all of the critical concerns have been addressed.

There may be other circumstances where research may and/or testing (of components of a program design) may be needed before a program design can be finalized. Generally, this would have been specified as part of the action plan, but the need may also arise during the Program Design step (or during the next steps of Prototype Testing and Field Testing).

Thus, the nature of the Program Design step may range from a simple documentation process to a developmental, emergent process.

It is to be recognized that at this point the realities of the actual design process might lead to the recognition that the specified goal may be out of reach, can be exceeded or otherwise altered. Where the realities of the program design differ significantly from what was approved by top management in the action plan, the procedure would be to initiate a review with top management -- a review that may or may

not result in a change either in the action plan or in previous policy decisions about strategies, goals or priority issues. This mechanism maintains the focus of the program on the priority issue which the program is addressing.

A. Basic Tasks

1) To elaborate the selected strategy in as much detail as is needed and is feasible.

2) To develop a summative evaluation plan.

This plan is used by LEAA in the Field Testing step; by user agencies which acquire the developed program; and by LEAA in the Evaluation step of policy planning. The criteria for this summative evaluation would be stated in terms of the goals established in the policy planning process.

B. Sub-Task Activities

1) As needed, develop:

   a) refined definition of target program user
   b) state-of-the-art review
   c) refined specification of key independent and dependent variables
   d) refined statement of goals

These tasks will have been performed during the Policy Planning process, but may need further refinement at times before a satisfactory program can be designed.

2) Develop Detailed Program Design to be used by a target agency, such as a police department.

a) <u>Program Outcomes (and results)</u>

This specifies what benefits a program user can
expect if the program is implemented. The program
outcomes should be stated in terms of the benefits
of the program and its expected impact on the
priority issue (problem). The anticipated program
outcomes can be stated in terms of the concepts of
effectiveness, efficiency, or equity (as discussed
earlier).

b) <u>Methods and Techniques</u>

This specifies the methods, techniques, equipment,
etc. that a user agency is to use in implementing
the program. It should include any necessary
technical descriptions and explanations.

c) <u>Tasks, Activities and Time Lines</u>

This spells out for the program user the tasks or
activities which are required if the program is to
be implemented and program outcomes obtained.
This step includes:

-- Explanation of each task or activity in such detail
   as would likely be needed by a target program user.

-- Sequencing of tasks and activities in order of
   occurrence.

-- Specification of the time required, or permitted,
   for the accomplishment of each task.

-- Explanation of how specific tasks and activities
   are interrelated.

d) <u>Requirements and Constraints</u>

This gives detailed attention to basic organization
and implementation issues such as:

-- <u>finances</u>: What is the estimated range of costs?

-- <u>staffing</u>: What qualifications are required for
   program personnel (e.g.: specialized
   skills, level of authority within a
   a user agency)?

-- <u>organization</u>: What type of organizational
   structure is needed (e.g.: Task forces?
   Temporary or permanent? At what level
   in the local agency? Who is to have
   specific responsibilities and authority?)

-- <u>potential problems</u>: Are there potential obstacles,
   constraints, issues or opportunities which
   may arise during program implementation?
   Is there a contingency plan to overcome
   obstacles or to capitalize on opportu-
   nities?

e) <u>Evaluation Plan</u> (for the user)

This involves preparation of a plan which a user agency
can use in monitoring and evaluating the effectiveness
of the program. Included would be the specification
of the criteria for assessing the impact of program
utilization along with the evaluation methodologies
to be used. The criteria should specifically relate
to the priority issue identified in the policy
planning process. The evaluation plan developed

for user agencies should be based upon and
congruent with the summative evaluation plan
(described above as a basic task of this Pro-
gram Design step).

C. End Results

A package of programmatic activities, specifications and related
materials which would be implemented by a target user, including
a summative evaluation plan.

D. Some Critical Types of Concern

1) Has the program design: sufficiently taken into account
   the near and long term capabiltities, motivations, etc.
   of the ultimate users of the program; considered the
   effects of current and changing political, social, and
   economic conditions on the robustness of the program
   design for field use; allowed for or guarded against
   (as appropriate) modification by users in the
   field; considered the needs for service and main-
   tenance and for diffusion after field introduction?

2) Has the program design remained faithful to the intent
   of policy decisions, to its research base?

3) Has sufficient attention been paid to needs of later
   stages of the program: testing, packaging, marketing,
   etc., and have necessary understandings been developed
   with those who will be responsible for those stages?
   What special barriers, gaps, major time and fund con-
   suming problems have been identified that require any
   special action? What inadequacies in the knowledge
   base of research, field data, etc. have been identified?
   What actions have been taken or initiated to deal
   with these problems and needs?

4) Will any special resources and structures be needed
for this program, given the way it has been designed?
Can these be made available?

5) Have any interesting alternatives arisen during our
thinking about program design that should be con-
sidered to modify the strategy selected or to use
as future strategies?

STEP II -- PROTOTYPE TESTING

(Currently Included in APDP Step Five: Testing)

Once a satisfactory program design is attained (either through Step I
above or through the adoption of an existing program design), the
next issue is whether or not testing is necessary -- and if so,
testing of what type. We are recommending that two types of testing
(prototype and field) be considered, principally differentiated by
purpose and different evaluation approaches based on the different
purposes.

Prototype testing may be needed for the purpose of identifying and
working out any program modifications. Testing for this purpose
would involve formative evaluation. Although there is concern in a
prototype test about whether the program is achieving results, the
focus is on the process and modifications are expected. In Step III,
we will describe field testing in which there is an attempt to assess
the extent to which the program has the desired impact (i.e., a
summative evaluation).

Prototype testing, then, is a trying out of the program design (or
some aspects of the program design) in order to work out bugs and
fill in gaps. Thus, it is the process which is the focus of moni-
toring and evaluation rather than the end results. Constant feed-
back permits staff to modify the design while the program is running.
If the program had been successful elsewhere (either in another
discipline, or in some state, local, or federal agency), and there
had been few or no major changes in program design, or if the designer
had great confidence in the state of the art that had guided the
solution design, then the prototype test might be unnecessary. At
other times, it may be necessary only to prototype test specific
parts of a program design. If a particular prototype test were to
be prohibitively expensive, this step might be skipped (implicitly
accepting the attendant risks).

A few further comments are needed here. First, as the above dis-
cussion illustrates, prototype testing may vary considerably in
scope and costs. Second, the term "prototype testing" might seem to
imply large scale, very costly models for testing -- but such a con-
notation is not intended. Prototype testing may or may not involve
testing the entire program design, and testing of an entire design
may be relatively inexpensive or very costly. Third, because of the
possible cost connotations, we did have some hesitation in using the
term "prototype testing". However, this term does seem to us to
accurately reflect a kind and purpose of testing (including the type
of evaluation used) which is different from and logically precedes
full field testing. Nonetheless, as noted earlier, a different term
might be used. Finally, we suggest this as a separate step precisely
because the purposes of and types of evaluation used in this step and
in field testing are different. We did find this to be a source of
staff confusion in the Testing step of APDP.

A. Basic Task

To identify weaknesses and modify the program design.

B. Sub Tasks for Prototype Testing Activities

1) Develop test site selection criteria
2) Select test site
3) Implement and monitor
4) Evaluate the process
5) Modify the program design as needed
6) Determine the need for additional testing, major re-
   design or perhaps even reconsideration of the selected
   strategy

C. End Result

A program design sufficiently refined to permit field test
validation; guidelines for the redesign of the program; or
justification for recycling the program back to policy planning
for reconsideration.

D. Some Typical Types of Concerns

1) Is the program design ready for test?

   - Could premature testing force the Agency into pre-
     mature application (or abandonment) due to pub-
     licity effects?

   - Is the prototype test being misused as a field
     development (design) step ("we know its not ready
     but we can fix it in the field!")?

2) How indicative of actual performance is the prototype
   test (e.g.: is the prototype a "special" that cannot
   be reproduced in general application?)

3) Is a prototype test really needed or can we justify not
   doing one?

4) Is adequate information on program behavior being fed back
   to research to assist in their solution focused research
   activities?

STEP III -- FIELD TESTING

(Currently included in APDP Step Five: Testing and
perhaps part of Step Six: Demonstration)

Once the program design has been debugged and modified to reflect
the experience of the prototype test, the next step is often a
Field Test.

If the program design has undergone extensive modification during the
prototype test, a field test is probably necessary in order to assess
the effectiveness of the program as modified.

If the prototype test has attained the desired outcomes (with minimum
modifications), then the decision about whether or not to conduct a
field test would depend on the apparent need for assessing external
validity: i.e., will the program work in other locations, were the
results of the prototype test sufficiently robust to permit omission
of the field test step?

Field testing involves the actual implementation of the program design
at several sites selected to be representative of the range of intended
users of the program. The field test serves to determine:

1) Internal validity (impact on the priority issue)

   Internal validity refers to the hypothesized relationship
   between the program and the priority issue which the program
   is intended to impact. Here, the basic question is: Does
   implementation of the program actually work -- i.e., does it
   impact the priority issue in the way and to the degree that
   is expected?

2) <u>External validity</u> (generalizability)

    External validity refers to the generalizability of the
program to a variety of types of agencies and situations.
Here the basic question is: Is this program useable by the
types of agencies for which it is intended? The question of
generalizability would depend on the set of intended users --
which may differ in terms of number of agencies or in terms
of variation among intended users (e.g.: is the program
only for small town police departments or is it for police
departments of all sizes?)

Testing for these purposes would involve summative evaluation. The
focus of the evaluation is therefore on outcomes, and modifications
have to be dealt with very carefully, or even discouraged, to avoid
problems in interpreting the meaning of the summative evaluations.
The evaluation of the field test will be based on the evaluation plan
developed during the program design step; it will be summative
and focused on results.

A. Basic Task

Conduct a field test to assess the internal and external validity
of a program.

B. Sub Task Activities

1) determine the number of sites
2) develop test site selection criteria
3) select test sites
4) implement and monitor
5) evaluate

C. End Results

The basic end result of the field test is confirmation or discon-
firmation of the internal and external validity of the program design.
Stated differently, the end result is a high or low level of confi-
dence in: (1) the effectiveness of the program in relation to the
priority issue which it addresses; and (2) the useability of the
program by intended users.

If the field test is successful, the program design would be made
into a program package in the next step. If the field test is not
successful, then the process would cycle back to the program
design step for a new design. Alternatively, the program could be
declared an ineffective approach to the priority issue (i.e., the
hypothesized relationship between the solution and the problem is
incorrect; or the program is not useable by the intended users),
and the problem returned to the policy level for the selection of
a new strategy.

D. Some Typical Types of Concerns

1) Is a field test really needed and feasible?

2) Is the program really ready? What may be some of the very
negative consequences of premature field exposure? Have
these been properly dealt with?

3) How much can be afforded for what scale of field test?
What is the potential risk of short-changing this step?

4) Who should be responsible for and involved in the field test:
the designers, those who will have to market and provide
field service, etc.?

5) To what extent have there been unexpected and unintended impacts for target users and subjects? What are the implications for Agency strategies and goals?

6) Are we providing research and design personnel with adequate feedback data that will enable them to improve relevant knowledge (problem, cause, and solution research) bases and to design better programs?

STEP IV -- PROGRAM PACKAGING

If there is sufficient confidence in the internal and external validity, the next step in the program development process is to prepare a Program Package in a form which is marketable to and useable by the intended users.

The program package would be such as to enable an operating criminal justice agency, or other unit, to implement the strategy and impact the target priority issue as it relates to their location. As such, the program package would include descriptions of program processes and activities; staffing requirements (number, roles, qualifications); procedures and forms, including separate materials for administrators (dealing with such issues as costs, staffing and training requirements, etc.); and description of the nature and logic of the program, steps in the program, methodologies, etc.

The program package would be utilized in the demonstration and marketing steps both to describe the strategy to potential users and to serve as their guide in implementing the program at the local level. The availability of the program package should encourage potential users to consider implementation (by affecting the user's perspective as to the feasibility of utilizing the program).

As the preliminary program package materials will have been previously developed in relatively complete form earlier (during program design and later in order to insure validity during the field test), this step will to some extent merely be a formalization, formatting, and publishing of the program design as used in the field test.

A. Basic Task

To decide upon, develop, and publish a field tested program design in a packaged format suitable for demonstration, marketing and local implementation.

B. Sub-Task Activities

1) Specify and describe elements of the program design to be packaged.

   a) Problem being addressed by the program

   b) Program objectives

   c) Program components

   d) Program processes and activities

   e) Forms and procedures

   f) Time lines

   g) Staffing requirements (number, roles, positions, qualifications)

   h) Resource requirements

   i) Evaluation plan -- same as in program design -- summative, results focused

2) Determine packaging form and format (books, booklets, or note-books; manuals; audio-visuals; etc.) and produce as applicable.

C. End Results

The outcome of this step is a program design which is packaged in a form and format suitable for marketing to and implementation by a user.

D. Some Typical Concerns

1) Has what was learned from the various tests been properly incorporated into the program package design?

2) Has sufficient attention been paid to the next steps of demonstration, marketing, and utilization assistance in this program package design? Have we had an adequate market

research knowledge base? Have we taken into account the intended demonstration and marketing strategies to be used? Have we taken into account user implementation needs and capabilities?

STEP V -- DEMONSTRATION

(Current Step Six in APDP)

Demonstration is a transition step. Once a program has been packaged (Step IV), the need becomes one of dissemination of the program to potential local agency users. While such transmission is the focus of marketing (Step VI), demonstration is seen as a sufficiently distinct and significant type of transmission activity to be specified as a separate, transition step of program development between the program packaging and marketing steps. Specifically, demonstration has a dual purpose:

1) To demonstrate to potential users that the program has external validity and could therefore be used in various locations. This is especially vital if the Field Testing step has been skipped.

2) As a pre-marketing activity to encourage target users to adopt the program, when it enters the marketing stage.

Several points are to be noted here:

1) Demonstration is seen as a transition step because it can be either field test or marketing focused.

2) Demonstration could serve as a foundation of potential marketing activities, providing sites for target users to observe.

3) Summative evaluation data could be obtained during demonstration which would substantiate further the findings of the field test.

4) Depending upon the analysis of marketing requirements,

demonstration could be omitted (if for example field test sites serve this purpose) or subsumed as part of the marketing design.

A. Basic Tasks

1) Implementation of the program in selected sites around the nation.

2) Providing for evaluation of the results of implementation.

B. Sub-Task Activities

1) Based on the set of target users, develop such site selection criteria as: size of users; type of geographical and demographic locations; number of sites needed

2) Select demonstration sites

3) Provide for some form of observation by other local agencies

4) Implement and monitor

5) Obtain evaluative and marketing-oriented information

6) Determine the allowable degree of local discretion to modify the program

C. End Result

The end results of demonstration should be program visibility and credibility, and user knowledge concerning the how, why,

how much, how long, how risky, etc. of the program -- i.e., that potential users are aware of, understand and have confidence in the program. Secondary end results may be: (a) additional evaluative substantiation of the internal and external validity of the program; and (b) information useful for marketing of the program.

D. Some Typical Concerns

1) Can we ensure that site selection criteria would not create misleading impressions?

2) How many resources should go in demonstrations, if at all, in comparison to marketing efforts? For how long?

3) Is this strictly a demonstration or is it also being used as field test effort? Is this explicit or implicit?

4) Are we capitalizing on learning opportunities, in product design and usage, that often occur as a by-product of demonstrations? What is being done with this knowledge?

5) What are the political implications of picking or not picking certain sites?

STEP VI -- MARKETING

(Current Step Seven of APDP)

Marketing involves a planned, integrated effort with the focus of encouraging users to adopt the program.

Marketing activities could include such activities as: incentive funding, special national workshops, offering of technical assistance, test site visits, publishing brochures for the program package, publishing research findings, executive training programs, presentations at national meetings. The previous step, Demonstration, could sometimes be integrated into the marketing plan.

A. Basic Task

The basic task is to convince decision makers in law enforcement and criminal justice agencies to adopt and implement the program package.

B. Sub-Task Activities

1) Determine the target audience for marketing activities. This could include: actual program users, decision makers, information gatekeepers

2) Determine the marketing strategy to use: (e.g.: whether or not to specify the program for incentive funding). If there is more than one target audience for marketing, different marketing activities may have to be developed

3) Preparation of a marketing plan including:

   a) timing
   b) assignment of responsibility
   c) allocation of resources

C. End Result

The outcome of the marketing step will be the adoption of the program by various users throughout the United States.

D. Some Typical Concerns

1) The dangers of overselling: Can we deliver what we promise? Should we tone down our selling?

2) Does special care need to be exercised because market research in general is inadequate?

3) What marketing channels available to us are adequate?

4) What resources should be allocated to marketing?

5) Do we have the necessary professional marketing expertise? If not, do we have access to it through contractors and consultants? (This is a continuing and typical weakness in government agencies.)

STEP VII -- UTILIZATION ASSISTANCE

Utilization assistance is offered to sustain the success of the program over time in adopting agencies. Utilization assistance occurs after implementation and may take many forms: visits to demonstration sites, staff training, technical assistance, etc.

This step focuses both on initial implementation and on sustained utilization by the user agency. This distinction is critical -- initial implementation does not guarantee sustained utilization over time.

An important aspect of this step is that it involves "knowledge transfer" -- i.e., ensuring that the user agency is able to use the program over the long term without being dependent on LEAA.

A. Basic Task

Provide assistance to users after implementation to ensure on-going utilization of the program package.

B. Sub-Task Activities

1) Identify utilization assistance needs: types of, whether different specific users need different types or levels of assistance, etc.

2) Develop the competencies and activities needed to provide assistance

3) Arrange with user agencies for the provision of utilization assistance

4) Provide assistance

5) Determine potential improvements in the program

C. End Result

Effective utilization of the program package by users, on a
sustained basis, as indicated by the institutionalization of
the program.

D. Some Typical Concerns

1) Should we be proactive and offer assistance as part
of the program design, or should we wait to be asked?

2) How much and for how long and to whom and at what cost?

3) Do we have, or have access to, the necessary skills?

4) Do we know enough about the users' problems and needs?

5) Is there a need for specialized technical and other
assistance institutions, such as hot-line linkages,
clearinghouses, etc.?

6) Have we done enough to help the users to help them-
selves?

7) Are we, or should we, be using the assistance activity
as a source of feedforward to research, to program
development, etc.?

8) What role could be played by State or local technical
centers? By local consultants?

PART EIGHT

INTEGRATION AND COORDINATION

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Up to this point, we have presented the policy planning and program development processes in terms of a sequential yet flexible and iterative set of activities -- of things to be done.

It is equally important to view the processes in terms of both the integration and coordination they are designed to facilitate, and which are required for implementation of the processes. It is this perspective that we now turn.

1.   The Need for Integration

The need for integration and coordination arises from several perspectives:

1) Priority issues, strategies and the steps of action plans often cut across Offices of LEAA, and across units within LEAA.

2) To the extent that LEAA programs are to be R&D and innovation based, there needs to be integration between research and program development.

3) LEAA has elements of a matrix-like organization. On the one hand, it is structured into a set of organizational units (Offices). On the other hand, LEAA also has a Division level structure oriented around the criminal justice functions (courts; corrections; etc.) which cuts across Offices.

4) It is necessary to integrate the policy planning and program development processes with other (existing) LEAA management processes such as budgetting and MBO.

2. The Need for Coordinative Mechanisms

The policy planning and program development processes are designed
both to facilitate and to push in the direction of integration in the
above areas. However, there is also a need to determine what specific
kinds of coordination mechanisms will be used to ensure, for example:
that integration does occur at the policy level; that there will be
timely and appropriate transitions between steps of policy planning
and program development and hand-offs between Offices during program
development; that research and action Offices have the opportunity
to inform and influence each other in a way that leads to adequately
and appropriately research-based programs; that appropriate cross-
Office or cross-function personnel have had opportunity to inform
and/or participate in the development of alternative strategy
proposals and of action plans; that MBO is congruent with developed
policies and plans; and so on.

3. Types of Coordinative Mechanisms

A variety of coordinative mechanisms could be considered to meet the
above kinds of integration and coordination needs -- and different
coordinative mechanisms may be appropriate for different purposes or
situations.

For example, working with LEAA staff, we noted that coordinative
mechanisms such as the following have either been used by LEAA (not
necessarily in relation to APDP) and/or are noted in APDP instructions:

- Program Management Teams (in the APDP instructions)

- Program Coordinating Teams (based on the APDP instructions)

- Ad Hoc Task Forces

- Working Groups

- Research Utilization Committee

- Program Design Teams

Other types of coordinative mechanisms could be derived from
organization theory and/or the experience of other organizations.
These could include: directive integration and coordination from
the top of an organization; individuals who serve as integrators
(e.g.: product managers in industry and program managers in research);
coordination through written procedures and rules; etc.

While these coordinative mechanisms may vary in a number of ways,
they essentially approach integration and coordination in one of
three ways:

1) through a group approach;

2) through an individual; or

3) through a mechanistic approach which primarily involves the
use of rules and procedures (e.g.: sign offs).

4. Issues and Requirements

The question now arises: What kinds of coordinative mechanisms
would be most appropriate for LEAA to use in connection with the
recommended policy planning and program development processes?
There are no simple guidelines or pat answers to this question.
We do suggest here, however, some of the issues and requirements
that should be considered.

Because of the nature of the policy planning and program development
processes, four important requirements would involve matters of
scope, membership, timing and power:

1) Whatever coordinative mechanisms are used, they should have sufficient scope to encompass needs for integration and coordination across Offices, across criminal justice functions, across LEAA's general activities, across steps of the policy planning and program development processes.

2) If group types of coordinative mechanisms are used, the groups will need to have a multi-Office and/or multi-function membership. In this way, each involved or affected party would be able to give and receive information, to influence and be influenced -- on a parity basis.

3) With regard to the issue of timing, we refer to the need to begin integration early in the processes of policy planning and program development. Thus, for example, staff need to be aware of and have input to the management policy process that will lead to action plans for which staff will have implementation responsibility. In a similar vein, integration and coordination between the research and action Offices needs to begin sufficiently early so that: (a) research staff can be involved in discussions of program ideas (developed in the action Offices) which may have research dimensions; and (b) conversely, staff in the action Offices can be involved in providing useful inputs (to the research Office) on research that could be performed in relation to perceived program needs.

4) We noted earlier that the policy planning and program development processes do not have, in themselves, the power to ensure or enforce the integration they are

designed to facilitate. Thus, the coordinative mechanisms must either have such power and/or be backed up by top management and by LEAA's reward and sanction system.

In the above discussion we have used the plural term, "coordinative mechanisms". This has been deliberate for three reasons. First, there are a number of coordinative mechanisms which could reasonably be considered, each with their unique characteristics, advantages and disadvantages. Second, it is likely that different coordinative mechanisms will be used at different levels, at different steps or stages of an activity or process, etc. Third, further study is needed before recommendations could be made as to what specific types of coordinative mechanisms would be most appropriate under different conditions.

While noting that a variety of coordinative mechanisms could be used, we also strongly caution against a random, ad hoc approach to the selection and use of coordinative mechanisms. As an example, it is our view that the coordinative mechanisms to be used during the program development process should be specified in the action plans approved in policy planning. Similarly it is our observation (as noted earlier) that LEAA's working group concept would be an appropriate coordinative mechanism, but that as currently used by LEAA, working groups appear to be developing a negative connotation among staff.

5.   An Illustrative Scenario

We will here present one possible approach in the spirit of a scenario. We do this for two reasons. First, the scenario will help illustrate how the requirements noted earlier might be translated into practice. Second, the implementation of the recommended policy planning and program development process will require some kind of coordinative mechanisms to be used -- the issue cannot just be left hanging. Thus, until

further study can be made, the coordinative mechanisms discussed
in this scenario might be adopted by LEAA on a temporary basis -- or
they could be used by top management for discussing and determining
some other approach that would be used on a temporary basis.

In this spirit, the following scenario is offered as an approach
which seems compatible with the recommended policy planning and
program development processes.

Integration and coordination needs can be viewed as existing at four
levels:

Level One -- Policy

At the policy level, integration and coordination are the
domain of management. Needs for integration and coordination
here include: ensuring a balance among priority issues in
relation to LEAA's purpose and mission; developing synergy and
preventing conflict among the Agency's priority issues, goals,
strategies and action plans; ensuring proper allocation of
financial and personnel resources by linking policy planning
decisions to budgetting, MBO and work plans.

Thus, appropriate coordinative mechanisms for the policy planning
process could be: (1) a consensus style of management among the
Director, the Associate Directors and the heads of the Offices;
and (2) a planned basis for meetings of this group (e.g.: regular
bi-weekly half-day meetings; semi-annual retreats).

Level Two -- Policy/Program Transitions

Level Three -- Criminal Justice Functions

In this scenario, we will discuss these two levels of coordination
interactively. Level Two (Policy/Program Transitions) refers:
(1) to the need for patterns of interaction and involvement of
both management and staff during the various stages and steps
of policy planning; and (2) to the need to ensure that implemen-
tation of action plans by staff does indeed fulfill the intent of
management with respect to policy decisions about priority issues,
goals and strategies.

Level Three (Criminal Justice Functions) simply takes cognizance
of the fact that at the Division level, responsibility for a
single criminal justice function (e.g.: courts) may reside in
several different Offices -- with, therefore, the need for coordi-
nation to develop synergy and to prevent redundancy or conflict
across the activities of different Offices. We also note that
the Division structure at LEAA represents mid-level management.

We see possibilities for utilizing LEAA's Division-level
management to provide integration simultaneously for both
policy/program transitions and for coordination of the criminal
justice function activities of LEAA.

Thus, mid-level Division managers could constitute a set of
cross-Office coordinating groups -- one coordinating group for
each criminal justice function. This would be an ongoing group,
and would be responsible for such integration needs as:
providing management with the information and recommendations it
needs during the various steps of the policy planning process;
assigning responsibility to staff for helping to prepare such

information and recommendations (in particular for developing action plans for management consideration); reviewing proposed action plans with management; keeping staff advised of policy issues and deliberations that affect implementation of action plans; providing guidance to staff concerning suggestions or recommendations staff may have for priority issues, strategies, etc.

The value of this approach is threefold:

1) It provides for integration in a manner congruent with the matrix-like characteristics of LEAA's structure noted earlier.

2) Managers at the division level would provide a critical coordinative linkage between policy planning and program development.

3) Staff who will be responsible for implementing management decisions would be involved early in the process.

Level Four -- Implementation of Action Plans

At the level of action plan implementation two types of integration are needed which may require different types of coordinative mechanisms.

First, there is a need for maintaining the link between policies and programs. Division managers are in an appropriate position to serve the needs of policy/program integration in ways suggested in "B" above.

Second, there is a need to coordinate across the steps of a program (or other type of activity). A coordinating team

responsible for implementation of an action plan could be an appropriate coordinative mechanism. The intent here is that staff who are assigned responsibility for developing action plan recommendations would become the coordinating team responsible for implementation. This would meet the need for coordination to begin early in the process for policy planning and program development. This coordinating team could be supervised by a Division manager.

A program manager approach could also be used for coordination across steps and Offices.

Finally, either of the above mechanisms would permit the use of (but not a dependence on) sign-off procedures.

6. Integration with Other Management Processes

A very important aspect of the recommended policy planning and program development processes is the manner in which they integrate with other LEAA management processes -- particularly budgetting, MBO and work plans. Insuring these integrative linkages should be viewed as an important element of the design of the overall process.

A. Linkage with Budgetting

The linkage between the recommended processes and LEAA's budgetting process comes at the Action Plan step of the policy planning process. The action plan would include a proposed budget, estimated over a multi-year period. Approval of an action plan implies at least tentative approval of the budget in the plan. Multi-year budget forecasting could be based on projected costs of tentative commitments of resources to action plans.

The linkage between budgetting and the recommended processes is conceptually simple. In practice, the linkage would be more complex in terms of: providing the necessary detailed procedures and forms; dealing with limited total budget constraints; providing balance across and within LEAA's general activities; putting a "price tag" on the "worth" of different priority issues and specific selected strategies; etc. These, however, are matters that would have to be handled in any case.

B.   Linking MBO to Policy Planning and Program Development

Management by Objectives (MBO) is a relatively widespread management process for which there has been much advocacy and support as well as much criticism and examples of failure. The literature indicates that the success of an organizational MBO program is very dependent on the linkage of MBO with other basic organizational processes.

LEAA has in recent years instituted an MBO program which appears to include other processes (such as annual reviews) within the formal designation of "MBO". It is our view that with appropriate linkages, the recommended policy planning and program development processes can enhance the usefulness of MBO at LEAA and enable LEAA to avoid many of the pitfalls often associated with the use of MBO.

The linkage from MBO to the recommended process should be viewed from two perspectives: formal linkages and process linkages.

MBO can be formally linked to policy planning and program development through the Goals and the Action Plan steps of the policy planning process. An action plan should specify how and to what extent the selected strategy is expected to help* attain the goals specified (in relation to a priority issue) during the policy planning process. Further, the action plan would also specify end results for each step of the action plan. Activities of the action plan would be designed to attain these step-by-step end results.

To complete the formal linkage, individual MBO statements should specify how and to what extent a person's activities would help attain the end results specified in the action plan.

In simplified form, then, the above formal linkage could be illustrated in Figure 10.

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*Several strategies may be selected to impact a specific priority issue in an additive manner.

| Policy Planning Process | Program Development Process | MBO Process |

Goals for impacting a priority issue

↓ ↑

Strategy

↓ ↑

Action Plan specifies end results of each step ← Attainment of Action Plan end results ← Individual objectives related to Action Plan end results
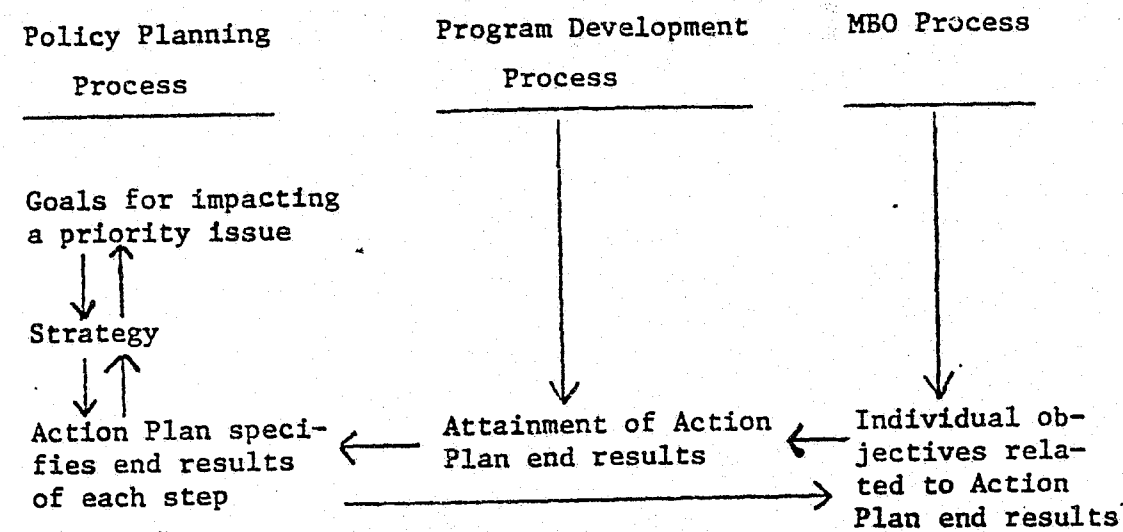
Figure 10

Linking MBO to Policy Planning and Program Development

From a process perspective, two major issues of MBO as a process must be considered.

First, there is an inherent tension in the concept of MBO between: (1) the use of MBO as a motivational process by permitting a person to develop his or her own objectives; and (2) the fact of life that objectives for the organization as a whole must (and will) be set by top management. Thus, one of the reasons for the failure of many MBO programs is the lack of integration between individual and organizational objectives. We do not suggest that there are simplistic ways for achieving this integration -- the potential for tension is inherent. We do, however, suggest that in at least three ways, the recommended policy planning process should facilitate the handling of this tension:

1) The use of the three types of Decision Memos permits a significant level of staff input to the policy planning process. Thus, they will not have been isolated from the policy decisions made about goals and strategies.*

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*Relatedly, it is vital that they also understand how the policy process works.

2) In most instances, staff would be primarily responsible for developing the detailed action plan -- thereby involving them in the determination of activities needed and end results to be achieved during each step of the plan. It is around these activities and end results that individual staff members would develop their own MBO statement.

3) The formal linkages described earlier and the processes noted in the above two points should enable staff members to see and understand how their activities and objectives tie into the organizational objectives.

Second, many MBO programs fail because they do not adequately integrate objectives across functional units of the organization. The classic illustration involves the different perspectives (and thus objectives) of production and marketing units. Theoretically, differences in objectives across units get rationalized and resolved at the top of the organization, but this tends to break down because top management does not (by definition) get involved in the "details." The recommended policy planning and program development processes should help facilitate integration of objectives across functional units because the processes are designed to be inherently integrative in operation. Each step of the policy planning process focuses on integrating perspectives and concerns. An action plan should specify integrative relationships and responsibilities for and between each step of the plan. Thus, individual MBO statements can be prepared with an understanding of how one's own activities and objectives affect and are affected by the activities and objectives of personnel from other functional units.

One further point must be made here from a process perspective. Though the policy planning and program development processes do inherently provide for clear and strong linkages with MBO, the development and maintenance of these linkages should not be assumed as being automatically accomplished. Thus, we suggest that training be provided to supervisors on how to use MBO discussions to develop these linkages, and that top management monitor the development and maintenance of these linkages.

In light of the above discussion, it is our view that the recommended policy planning and program development processes should enhance the use of MBO as a management tool.

C. Linkage with Work Plans

The linkage here is reasonably clear-cut. Work plans would be (as necessary) a further detailing of the activities specified in an action plan.

In summary, it is our position that the recommended policy planning and program development processes integrate with and strengthen existing LEAA management processes.

7. The Need for Further Study

It is our evaluation, then, that further study is needed than was possible in this study to enable LEAA make decisions about what coordinative mechanisms to use.

As we began to consider the various LEAA coordinative mechanisms in relation to the Agency-level integration and coordination requirements of policy planning and program development, we noted that these mech-

anisms varied in a number of ways -- for example, with respect to: membership of coordinative groups; decision making authority, funding and accountability; purposes and tasks; length of existence (i.e., short term or on-going); time commitments required of members of coordinative groups. Some coordinative groups were essentially within a single Office, while others cut across Offices. Some dealt with one aspect of many programs; some dealt with only part of one program.

Staff raised a variety of questions about matters such as these. We also noted that Working Groups -- which seem to us to be a potentially appropriate coordinative mechanism -- appear to be developing a negative reputation among staff.

In a word, there appears to be a proliferation of coordinative mechanisms within LEAA -- and there does not seem to be a consensus about or consistent use of any particular coordinative mechanism (or set of mechanisms).

Nor is it obvious which specific existing or new coordinative mechanisms should be used at LEAA with the recommended policy planning and program development processes. There are reasonable alternative approaches. The issues are complex. There do exist differences in preference for and/or experience with various mechanisms.

Similarly, a number of questions relating to the development of specific procedures for integrating the policy planning and program development processes with budgeting, MBO, etc.

RECOMMENDATION:

In light of the above, we recommend that LEAA initiate a study of the types of coordinative mechanisms which could and should be used in relation to the recommended policy planning and policy development processes.

PART NINE

IMPLEMENTATION

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In the previous section, we have proposed processes for LEAA policy planning and program development which have built upon and elaborated APDP. We now turn to a consideration of the implementation of these recommendations.

Underlying our implementation approach are the following presuppositions:

1) There must be some congruency between the processes selected by the Agency for its policy planning and program development and the Agency's mission, structure, and patterns of top management interaction.

2) Agency top management must be meaningfully involved in and visibly committed to the processes. Their own decision making and control behaviors must be consistent with the behaviors being asked of Agency staff.

3) The implementation can only succeed if staff understanding and commitment is established.

4) An organization change of the scope found in APDP or in our elaborations of APDP needs to be introduced:

   a) In a gradual, clear and sustained manner,

   b) so as to deal with the transition from current to planned practices, and

   c) in a consistent manner over time and across relevant parts of the organization.

5) The policy planning and program development processes recommended in Parts Six and Seven represent the next major phase of a process of implementation that began with the introduction of APDP.

The discussion of implementation is presented in three sections:

Section I will focus on some areas where top management decisions will have a critical impact on the implementation and institution-alization of the recommended processes. These include issues of congruency, top management commitment and involvement, and relation-ships between LEAA and State and local agencies.

Section II will discuss three other aspects of the suggested imple-mentation plan. Here we will focus on staff commitment, the plan-ned and gradual nature of the implementation plan, and training.

Section III will outline an implementation plan. This plan will suggest specific phases and stages, tasks and involvement of various LEAA personnel, methods, and types and sources of information. The suggested implementation plan is intended to provide a basis upon which LEAA can develop a fully operational plan. It is therefore presented in outline form.

I. MANAGEMENT DECISIONS AFFECTING IMPLEMENTATION

Certain top management decisions can critically affect the implementation of the recommended polich planning and program development approaches. Therefore, these decisions need to be made an _early_ aspect of the implementation. These decisions involve matters of LEAA's _mission and structure_, top management's _process_ and _commitment_, and the nature of the Agency's _external relations_.

Three preliminary comments should be made here.

First, we do not view our list of decision questions as being exhaustive or exclusive -- rather, we would expect LEAA's top management to add to this list as it deems necessary.

Second, we do not presume to suggest what the decisions of LEAA's top management should be. We do, however, firmly believe that the usefulness of the proposed policy planning and program development processes -- or of APDP in its current form --is very dependent upon these critical management decisions. Thus, we explicitly state that implementation of these processes should proceed only if certain kinds of decisions are made by LEAA's top management. Otherwise, _different_ types of coordination mechanisms would better serve the needs of the Agency for integration. Our basic rationale here is simply that APDP by itself cannot insure or enforce the type of integration and coordination which it seeks to facilitate.

Third, we recognize that LEAA's top management is far from free to make decisions on these questions as they will. To some (and in some cases to a very important) degree it may be more a situation of recognizing an imposed reality. Nor do we assume that consensus on the issues exists or it easily possible across those in LEAA who will need to make (or contribute to) the decisions. We are saying that these are issues that need to be resolved.

1. The Need for Congruency

It is our view that there must be a fundamental congruence between LEAA's mission, structures and top management leadership processes on the one hand and the recommended policy planning and program development processes on the other. Otherwise, we would seriously question the usefulness of continuing to introduce such far reaching and relatively sophisticated processes as proposed in Parts Six and Seven or as contained in APDP.

The recommended policy planning and program development processes are designed to facilitate integration and coordination across activities of the Agency, across programs, across Offices -- but as we have noted, these processes cannot by themselves ensure or enforce this integration.

In light of the above, two critical questions arise:

1) To what extent does fulfillment of LEAA's mission require integration and coordination?

2) What kinds of Agency structures and/or management leadership process would tend to ensure the effective use of the policy planning and program development processes -- and therefore facilitate integration and coordination?

We further note that limitations with regard to mission and structure give added importance to top management leadership processes -- as this is the area where management has the greatest degree of control.

A. Mission

Management Decision No. 1 -- What is to be the nature of LEAA's mission and how shall this mission be accomplished?

This question, of course, forms the substantive content of Step II of the recommended policy planning process, and

would therefore become a subject for top management discussion, as part of the policy planning process. It is our view, however, that at least tentative agreements need to be developed at the beginning of the implementation process described in Section III.

Though to some degree the answer to this question is obvious and known to those who lead LEAA, the question is both important and difficult -- and likely will not be answered quickly or easily.

The importance of this question may be illustrated by posing two different possible mission emphases.

On the one hand, research and action program development could be seen as separate mission activities, with little or no interconnection between LEAA Offices. In this case, the kind of Agency-wide processes we are recommending would not be needed -- though consideration could be given to their applicability within a single Office. (This statement would be especially true for an organization whose essential mission is research, such as NIH.)

On the other hand, if the research and program development are to be closely-linked and interactive, then a strong degree of integration and coordination would be needed on an Agency-wide basis with respect to: research activities and program generation and selection; research and development; cross-Office interaction; and the various stages or aspects of a total process of innovation. Here, Agency-wide policy planning and program development processes would be very appropriate

In a similar manner, we may consider the Agency's external relationship processes and their management. Thus, if LEAA's mission calls for providing relevant new knowledge and various

kinds of assistance to State and local agencies, then the nature of the relationships with those agencies becomes critical and of major potential importance in designing key decision making and development processes.

LEAA's mission is and will be determined to an important degree from outside the Agency, and the basic parameters of LEAA's mission are specified by LEAA's authorizing legislation. At the same time, it is also the case that within these parameters LEAA top management decisions do affect the emphasis given to LEAA's various specified missions; that LEAA has, over the past few years, been moving in the direction of an R&D and innovation orientation; and that this issue of LEAA's mission is at the heart of the current Congressional debate about the Agency's future.

Thus while it is not an appropriate role for us to specify what LEAA's destiny should be, we do emphasize the importance of LEAA's top management having at least a tentative agreement before proceeding further with the implementation either of APDP in its current form or the policy planning/program development processes recommended in Parts Six and Seven. This should be done even if that agreement is accepted as being temporary and for the purposes of proceeding with other key management decisions and further implementation of the recommended processes.

B. Organizational Structure

Management Decision No. 2 -- Is LEAA to operate as a single organization, as a tight federation, as a loose federation, or as a group of essentially independent organizations?

The basic issue here is how strongly are the various Offices of LEAA to be linked -- i.e., how integrated is LEAA to be in terms of formal organization structures.

The essential point is that different types of processes and mechanisms best serve the needs of integration and

coordination under different types of organizational structure.
More specifically, the recommended policy planning and program
development processes are valid integrating processes for either
a single organization or tight federation type of organizational
structure. We would not recommend the processes for a loose
federation or for a group of essentially independent organizations
-- unless a strong degree of consensus could be developed among
the various organizational units regarding: (a) agreement as to
Agency missions (as discussed above); and (b) the use of a con-
sensus type of management leadership style and process (as discussed
below). Such a consensus could have the effect of enabling a
loosely-linked organization to operate as if it were tightly linked.

With respect to LEAA's organizational structure, we again recognize
that there are significant external factors at work that are shaping
the structure of the Agency -- even to the point of determining its
continued existence as a single institution. However, it is both
feasible and necessary for Agency management to make certain critical
decisions as to how LEAA will function as an organization within the
externally mandated constraints.

C.   Top Management Interaction Processes

Management Decision No. 3 -- What type of top management
style and process is to be used by the Agency?

Depending upon the leadership style and processes that are used,
interaction among LEAA's top management could take several forms.
These could vary from:

- a centrally directed and enforced leadership (here,
  integration would be achieved unilaterally);

- a consensus type of top management leadership (here,
  integration would be achieved by agreement on policies

and programs, and enforced by management behavior and
use of the Agnecy's reward system);

- an interactive information-sharing type of management
  process (this would provide opportunities for integration,
  but consensus would not necessarily be sought);

- a laissez-faire process in which the Offices would be
  operated essentially independently of each other (some
  degree of interaction and integration might emerge
  around specific programs and activities, but this would
  probably be atypical).

Two points are to be made here.

First, the recommended policy planning and program development
processes would be valid under either a centrally directed or a
consensus type of management process. These processes might
prove useful (but in our opinion, less useful) if the management
style is one of much information sharing but without an emphasis
on achieving consensus across Agency top management. The
processes would not, in our opinion, be particularly useful
under laissez-faire types of management interaction.

Second, given the current federation-like structures of LEAA
and recognizing that external forces do, to a large extent,
determine the Agency's mission and structure, the type of
leadership process used by LEAA's top management becomes
especially important. A consensus type of management style can
(within legislative constraints) develop agreements about
LEAA's mission that could provide a normative power to insure
the effective utilization of the recommended policy planning
and program development process. Similarly, managment
leadership processes would have an impact on how LEAA's
structure (whatever it is or may be in the future) will

actually function. Despite factors that might be leading
the Agency to be established as a loose federation of semi-
autonomous units, management could make decisions and take
steps to operate in closer coordination than is implied
by the formal structure. To the extent that this was so, the
recommended Agency-wide policy making and program development
processes would reinforce such decisions and steps.

Two other related top management decisions should be noted here.

Management Decision No. 3a -- Who is to be considered as
part of LEAA's top management group?

Management Decision No. 3b -- How often and under what format
should LEAA's top management meet?

These two questions are relatively self-explanatory. The main
point to be made is that if these decisions are congruent with
the type of management leadership process selected, they would
reinforce the basic direction chosen by LEAA -- i.e., whether
LEAA is to have an integrated or diffuse management process at
the Agency-wide level.

We have up to this point made the case that if the recommended policy
planning and program development processes are to be useful in facil-
itating integration within LEAA, they must be congruent with mission,
structures and top management leadership processes.

This is not to say that integration and coordination could not be
achieved through other mechanisms. Nor does it imply that only one
type of structure can provide the appropriate setting for the recom-
mended processes. Whatever structural form and mission changes do
emerge at LEAA, some type of policy planning and program integration
mechanisms would still be needed -- i.e., the objectives of the
recommended processes still need to be attained.

In a word, the form of the recommended processes is congruent with
a relatively tightly-linked organization, but different mechanisms
would be more appropriate to achieve needed integration in a
loosely-linked organization.

2. Management Commitment and Involvement

Management Decision No. 4 -- Do members of top management
really intend to commit themselves to implement and
support the recommended policy and program management
process?

The issues here may be stated rather simply. They involve
the willingness of top management to:

-- make the critical decisions necessary for effective
    use of the recommended policy planning and program
    development processes;

-- adapt their own operating behaviors to the require-
    ments of these processes;

-- utilize the communication and reward systems of the
    Agency to ensure full understanding, cooperation, and
    support of Agency staff in the use of the processes;

-- provide staff with the resources, responsibility and
    authority required for the use of the processes.

While the issues may be stated simply, they nonetheless are of
critical importance and may not always be simplistic in practice.

The issue of top management's own operating behavior (in par-
ticular with respect to the policy planning process and to the
management leadership processes) is perhaps of special impor-

.tance. Staff must know that management really believes in the process (beyond just saying so) and that this is reflected in management's own continuing and consistent behavior.*

In our view, this is a matter to which management should give continuing and consistent attention -- both because of the impact of management behavior on staff behavior;** and because the recommended processes do call, in varying degrees, for modified behaviors by LEAA management.***

One point in particular may be worth noting here. The manner in which the Director shows support for the implementation of the recommended processes can be very important. It would be our opinion that the normal means of a general directive signed by the Director and attached to a set of instructions would not be perceived by staff as indicating strong support by the Director. At a minimum, then, it would be helpful for the Director to send a separate letter or memo to staff, preceding the distribution of general instructions and indicating how management itself will be (has been) preparing for and using the processes. Beyond that, and perhaps more potent in the long run, will be the sustained pattern of visible support by the Director, a clear indication that decision making is being made and demanded from the proposed perspectives, and so forth.

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* In our previous studies of the problems of implementing PPBS into federal agencies, we found this point to be one of the very important factors that affected implementation success. (White, Radnor, and Tansik 1975.) Numerous other studies support this conclusion.

** Numerous studies indicate that the behavior or members of an organization tends to mirror the behavior of management.

*** We have noted earlier that LEAA has already been moving in these directions and that the processes, and therefore the required management behaviors, are not absolutely new to LEAA. Nonetheless, we also noted earlier in Part Two that in our opinion both APDP and the recommended processes do represent significantly new ways of doing things.

One point of clarification should be made here in regard to "management prerogative". Management has the right and often the responsibility of putting a high priority on its own recommendations. However, this would not be inconsistent with the recommended policy planning process, provided that when this prerogative is exercised, it is then justified in relation to an agreed upon priority issue or by formal establishment of a new priority issue. In this way, management prerogative is maintained, while top management, as a group, can review the merits of management's own suggestions.

3. External Relations

While there may be a number of arenas to which concerns about external relations apply, we have identified the arena of State and local agencies as a particular important in relation to program development.

> Management Decision No. 5 -- What kind of relationship does the Agency want with State and local law enforcement and criminal justice agencies?

There is obviously a variety of possible relationships between LEAA and State/local agencies. Relationships may range from very minimal to a high degree of State/local involvement in LEAA's processes of policy planning and program development, with many variations or combinations in between. Further, it might be valid for the relationship to vary at different times, for different issues or activities, with different State or local agencies, etc.

In Part Four of this report we noted this as an area requiring some attention from the Agency, but one for which we could make no specific evaluation or comment at this time. Our original proposal contained the recommendation that this topic should be-

come the focus of a follow-up study like this one. We continue to see this as an area requiring further Agency study, and will make a specific recommendation to this effect in Part Ten of this report.

We also express the caveat that implementation of the proposed policy planning and program development processes obviously could begin in the absence of this decision. However, we consider the issue to be of sufficient significance to suggest early consideration in order that decisions made may become, in a real sense, part of the foundational building blocks of the policy planning and program development processes.

4. A Possible Scenario of Top Management Decisions

As we noted at the beginning of this section, we do not presume to suggest how the above questions should be answered -- that would be outside the scope of this project. At the same time, we do take the position that the manner in which these questions are answered, by LEAA's top management, would have significant impact on whether or not implementation of the recommended policy planning and program development processes (or the continued implementation of APDP in its current form) would be useful to LEAA.

Indeed, there is yet another basic top management decision to be made:

Management Decision No. 6 -- Is LEAA to adopt and implement the recommended policy planning and program development processes?

We have listed this question separately and last because it is our position that the management decisions discussed above should precede (but take into consideration) management's decision about the adoption of our recommendations.

It may be helpful, therefore, to provide here -- in the spirit of illustration -- a scenario of a set of management decisions which would create congruent and supportive conditions for the implementation of the recommended policy planning and program development processes. The set of decisions in this illustrative scenario do not, of course, represent the only decisons that could be made.

Management Decision Question	Possible Management Decision
No. 1: What is to be the nature of LEAA's mission and how shall this be accomplished?	Emphasis is placed on the R&D innovative base for LEAA program development.
No. 2: Is LEAA to operate as a single organization, as a tight federation, as a loose federation, or as a group of essentially independent organization?	LEAA Management decides to function as a tight federation having many characteristics of a single organization.
No. 3: What type of top management style and process is to be used by the Agency?	LEAA top management operates in a consensus mode. Extensive use is made of participative inputs at both the management and staff level.
No. 3a: Who is to be considered as part of LEAA's top managment group?	LEAA's top management group consists of: the administrator, the assistant administrators, the heads of LEAA's Offices.
No. 3b: How often and under what format should LEAA's top management meet?	Top management meets on some regular basis (e.g.: weekly or bi-weekly meetings plus regular retreats).
No. 4: Do members of top management really intend to commit themselves to implement and support the recommended policy and program management process?	LEAA top management would use the proposed processes to make decisions, would encourage the rest of LEAA to do so, and would monitor and control the use of the proposed processes, including application of LEAA's reward and penalty system.

No. 5: What kind of relationship does the Agency want with State and local agencies?

No. 6: Is LEAA to adopt and implement the recommended policy planning and program development processes?

Top management chooses to maintain close, cooperative relationships with State and local agencies in the Agency's policy planning and program development processes.

In light of the above decisions, LEAA adopts and implements the recommended processes.

II. IMPORTANT ASPECTS OF THE IMPLEMENTATION PLAN

Three other aspects of the implementation plan outlined in Section III merit discussion here:

1) the need to obtain staff commitment

2) the gradual, phased nature of the implementation plan

3) training

1. Obtaining Staff Commitment

We earlier noted that the need to obtain staff commitment to the policy planning and program development process is a presupposition underlying our approach to implementation. The necessity of staff commitment to the program development process is reasonably obvious. They are the ones who have the responsibility for implementing the program development process in accordance with an approved action plan.

Though perhaps less immediately obvious, staff commitment is also important for implementation of the policy planning process. To a significant degree, it is staff responsibility to provide information management needs to make decisions about priority issues, goals, strategies, and action plans. In particular, staff would in most cases have primary responsibility for the actual preparation of action plans. Second, we have noted that in an innovation-oriented organization, professional staff are an important source of ideas and suggestions. Third, staff are responsible for the implementation step (Step VIII of the policy planning process) -- without which the rest of the policy planning is essentially for naught.

The implementation plan outlined in Secion III seeks to develop staff commitment by building on three basic principles.

First, the implementation plan is based on having strong, sustained and visible management commitment.

Second, the implementation plan is based on the need for staff to clearly understand the policy planning and program development processes -- including an understanding of the relationship between the two processes. This staff understanding can be developed by:

1) clarifying and elaborating some aspects of the current APDP design, as disucssed in this report;

2) building a process of gradual and staged implementation;

3) providing separate training sessions for policy planning and for program development, so as to avoid an information overload and to permit concentration of focus in training;

4) having the form and process of training mirror the operating process of policy planning and porgram development (e.g.: by training personnel in groups organized by criminal justice function on a cross-Office basis).

We see these suggestions as building upon the APDP training efforts.

Third, the implementation plan seeks to create a need for staff to understand and use the policy planning and program development processes. This need can be created through management insistence on information, answers and justifications that staff can provide by using the processes; and through management enforcement of compliance by rewarding those Offices and persons who use the processes and, as necessary, withholding support and rewards from those who do not.

2. Phased and Gradual Implementation

Another basic aspect of our implementation philosophy is the use of a phased, gradual process of implementation.

Specifically, the implementation plan has been developed to take place over an 18 month period in a series of phases and stages, each with its own objectives and suggested time table as follows:

Phase I: Initial Introduction 1976-78	As noted earlier, we consider the initial implementation of APDP to be a Phase I, initial implementation phase. In our opinion, LEAA is now ready for a next phase of implementation.
Phase II: (Months 1-18)	
Stage 1:	Management studies the policy planning and program development processes; makes preliminary decisions concerning Agency structure, mission and management processes that would justify (or abort) continuation of implementation; and sets the implementation plan.
Stage 2: Initiation Mode (Months 3-8)	The recommended and revised policy planning and program development processes are gradually introduced into organizaton at the same time that the organization and personnel are being prepared for the revised approaches. Emphasis in communication with staff is that the policy planning and program development processes are an elaboration, not a replacement, of APDP.
Stage 3: Pilot Test of Normal Mode (Months 9-18)	During this period, the Agency would attempt to use the processes in a normal and full-scale manner, but in the sense of a pilot test of the processes. At this point, management begins to insist on staff and Office compliance.

Phase III:
Evaluation

Stage 1:
Evaluaton
(Month 16)

Towards the end of Phase II, there is a
formal evaluation of the implementation
of the policy planning and program develop-
ment processes.

Stage 2:
Review
(Months 17-18)

Agency management reviews the evaluation of
the experience to date and determines
whether to continue and/or to initiate
changes in the processes.

An outline of these phases and stages is provided in Section III
below. For now, we will limit the discussion to an expansion of
the logic underlying the phasing and staging.

The first two stages of Phase II (Months 1-8) are the periods during
which the elaborated policy planning and program development pro-
cesses are initially exposed to the Agency at-large. During this
period, the implementation is on a gradual basis.

In these first two stages of Phase II, the strategy is to:

1) Establish the necessary initial organizational conditions
for implementation and to set in motion a series of decisions
that will create the basis for the policy planning and pro-
gram development processes.

2) Stimulate and prepare the organization through:

a) making management commitment visible;

b) beginning to operate informally in the desired
manner (i.e., creating a need for the processes);

c) intensifying communications to staff;

d) reshaping existing program plans into the desired
format, to the extent feasible (including retro-
fitting or setting aside some current programs).

3) Initiate a new round of training in a cascading approach:
provide training for top mangement; then train trainers, then
mid-managers, and then program level personnel.

Stage Three of Phase II (months 9-18) should be seen as a full-scale
pilot test of the policy planning and program development processes.
By this time, staff and management should have sufficient working
knowledge to use the processes. At the same time, it is to be expec-
ted that some problems will still arise, and that modifications may
still be needed in either the designs or in the implementation process.
Thus, this is seen as a pilot testing period -- but on a full-scale,
normal operation mode basis. It would include not only new programs,
but also the retrofitting (and possibly the discontinuance or temp-
orarily setting aside) of some currently existing programs. We do
recognize that there may be feasibility limitations with respect to
the retrofitting of all existing programs, but we do encourage coming
as near as possible to a full-scale implementation.

Phase III (months 16-18) provides an oportunity to evaluate the re-
sults of implementation and, as necessary, modify (or even abandon)
the design or the implementation process after the end of 18 months.
In effect, the period beginning in month 19 would be the final phase of
institutionalizing the policy planning and program development process-
es on a sustained and ongoing basis.

The time lines indicated in the several phases and stages are, of
course, tentative and would be subject to revision, both in initial
planning and as the implementation proceeds. Thus, while we consider
the suggested time lines to be reasonable, we recognize that a final de-
tailing of the implementation plan may require modification in time
lines.

3. Training

It is neither necessary nor feasible in this report to provide a full-

blown plan for the training aspects of implementation. This is (and should be) the responsibility of the LEAA training staff. Rather, we will here make some suggestions about the training process which build upon the training approaches used for the APDP implementation and upon the nature of the recommended policy planning and program development processes.

First, it must be remembered that training is only one aspect (albeit a crucial one) of the total implementation process. As we noted earlier, a comprehensive implementation plan will need to include (on a planned basis) such other elements as creating a need for staff to understand and use APDP.

Second, we suggest providing separate training sessions for the policy planning and program development processes. This would help eliminate two problems we noted in Part Three -- an overload of informaton at one time about a relatively sophisticated process; and a confusing mixing of "levels" (policy and program). This provision would allow both trainers and trainees to focus more sharply on the particular nature of each process and would also allow any staff who are not affected by the program development process to receive training on the policy planning process.*

Third, we suggest using a "waterfall" process of training by starting with top management, then training the trainers, and then successively training division managers, program managers, and other staff. The objective is to make the training a process that can and will be reinforced by every level of management in its turn, and to have staff view the activity as a total organizational effort.

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*In the questionnaire, some staff noted that APDP (i.e., program development) did not affect them -- and some questionnaires were not returned for precisely this reason.

Fourth, we suggest a cross-Office approach based on criminal justice functions -- i.e., where feasible, training groups would be established for each separate criminal justice function (e.g.: courts; corrections). Each function-based group would include staff from all Offices of LEAA. The objective would be to make the training experience mirror (and in fact prepare staff for) the actual work context -- with special emphasis on the consideration of alternatives. In this way the creative adaptations that typically grow out of training programs can be useful in that they would involve the actual people who need to work together on the job.

Finally, it would be helpful to include some team building training into the overall training program. Team building is designed to help participants improve their group process skills and become more effective as group members. Since the recommended policy planning and program development processes do call for personnel from different Offices (and different units within an Office) to work together, this kind of training would be helpful in any case. It would be especially important if LEAA decided to use cross-Office types of coordinating mechanismsm in the program development process.

4. An Issue of Timing

From several perspectives, the question must be asked about when to begin implementation of the recommended policy planning and program development processes, if these recommendations are approved by top management. Three perspectives in particular should be considered.

First, consideration should be given to possible dysfunctional consequences which, in our opinion, could result from a lengthy delay in implementation. As we have noted in this report, we consider our

recommendations to be an elaboration -- not a replacement -- of APDP.
Thus, implementation of these recommendations should be seen as a
second phase of the APDP implementation process.

It has been our observation that organizations introducing major
changes tend to plateau out in their initial efforts after a year
or so. It is then often most helpful to provide something of a
"booster shot" at this point to renew momentum. The lack of such
reinforcement will too often allow the plateauing to become stag-
nation and then deterioration. To be effective, the reinforcement
that is given should contain at least some new elements. This
helps people to justify the perceived "slowness" or "confusion"
of the past period, helps them to rationalize away any previous
resistance (which some people may be seeking an excuse to abandon),
and provides some new excitement that can help overcome the inev-
itable inertia-creating disappointments of first efforts.

Since the current implementation of APDP has been taking place over
approximately a two-year period, we would be concerned if a six-to-
twelve month hiatus were to develop before the next phase of imple-
mentation begins.

From this first perspective, then, we would suggest that implementa-
tion of the recommendations begin within the near future. At the
same time, we recognize two other perspectives might suggest delaying
implementation.

The second perspective involves a recognition that there are currently
many concerns pressing for the attention of LEAA management -- one
important concern being a transition in leadership with the recent
appointment of a new Director at LEAA, along with the need for the
new Director to give his attention to "getting on board". We recognize
these as important concerns which will indeed make strong demands
on the time, attention and efforts of LEAA management. Thus, it may

seem that the "time is not ripe" to begin the kind of intensive
implementation process we are suggesting. It is our view in this
matter that: (1) as a general organizational truism, there is no
"right time" where other major concerns would not be validly pressing
for management attention; and (2) that both the nature of the
recommended processes and the design of the proposed implementation
plan would significantly aid in the leadership transition process
noted above.

A third perspective concerns the possibility that in the reasonably
near future, LEAA might be reorganized in a very loosely-linked
manner. Since we have suggested that neither APDP in its current
form nor the processes recommended in this report would be fully
appropriate under such circumstances, it can be reasonably argued
that implementation of the recommended processes should be held in
abeyance until the issue of LEAA's reorganization is resolved.

There are, then, conflicting perspectives -- each having validity --
about whether to begin or delay implementation of the recommendations
of this report.

It was not within the scope of this project to examine the above
concerns in depth. However, since they obviously affect our recom-
mendations, we will discuss them further in Part Ten and suggest some
guidelines for deciding when and how to begin implementation of the
recommendations.

III. OUTLINE OF A SUGGESTED IMPLEMENTATION PLAN

This section presents an outline for an implementation plan which builds upon the implementation principles and requirements discussed above.

The suggested implementation plan is presented in a series of charts (for each Phase and Stage) which indicate:

1) the _months_ covered by a particular stage or a particular task (i.e., beginning with Month No. 1 of actual implementation);

2) the basic _tasks_ involved;

3) possible _methods_ for accomplishing these tasks; and

4) _information_ and/or _sources_ of information relevant to each task.

The presentation of the implementation plan is organized:

1) separately by _stage_ of the plan;

2) within each stage, separately for each _basic group of personnel_ involved (e.g.: top management, implementation design committee, planning staff, etc.).

Five further points should be made here.

First, the initial stage of implementation is built around the key management decisions discussed earlier, including the decision whether or not to proceed further with the implementation of either the recommended policy planning and program development processes _or_ with APDP in its current form.

Second, if the decision is made (even tentatively) to proceed with implementation of the recommended processes, we are suggesting that an _implementation design committee_ be formed to: (1) review and (as needed) modify the suggested implementation plan; and (2) to develop the necessary detailing and design of the plan.

Third, we consider it important that there be some mechanism for managing the implementation plan throughout the life of the plan, including a process for continuous feedback throughout implementation concerning the process itself. However, we think it would be inappropriate and premature for us to suggest at this point a mechanism for managing the plan. We consider it to be one of the initial tasks of the implementation design committee to recommend what the managing mechanism should be. We have therefore not provided for the continuation of the implementation design committee beyond Month No. 2 of the implementation plan.

Fourth, a provision for evaluating the implementation, its impacts and the design at the end of the time period has been built into the plan. Data should be collected throughout the implementation plan for a final evaluation.

Fifth, as we noted earlier, the time lines and elements of the plan presented here seem to us to be reasonable. At the same time, the possibility exists for further modifications and we would expect some degree of modification would be needed.

PHASE I
(1976-78)

INTRODUCTION OF APDP

We view our current recommendations for policy planning and program
development processes to be a continuation and elaboration of APDP.
We thus consider the introduction of APDP during 1976-78 to be a
Phase I implementation process. The implementation plan outline
which follows therefore begins the second phase of implementation.
We believe that viewing the implementation of our recommendations
as a continuation and elaboration of APDP is not only an appropriate
perspective -- it is also a perspective which is a necessary frame-
work (which must therefore be communicated) for understanding the
recommended policy planning and program development processes.

PHASE II -- STAGE 1
(Months 1 & 2)

PRELIMINARY DECISION STAGE

BASIC TASK

Determine whether and how to proceed

ACTIVITIES

1) Review report and recommendations; Make key decisions

2) Provide training for top management

3) Establish implementation design committee

4) Develop detailed implementation plan

MONTH	TASKS	METHOD	INFORMATION/SOURCES
1	1) Review report and recommendations		-This report
1	2) Make initial decision whether to implement the recommended policy planning and program development processes. If initial decision is to procede, continue with tasks below	Formal and informal discussions, culminating in a 2-3 day retreat type of meeting at end of month 1	-This report -Planning personnel
1	3) Agree on list of critical decisions to be made		
1	4) Set up Implementation Design Committee		
1	5) Participate in a training session (1/2 to 3/4 day) on the policy planning and program development processes	As part of the above retreat type meeting	-This report -Planning personnel -Implementation Design Committee
2	6) Make the critical decisions listed during Task #3 above. Develop an agreed upon plan for current or later implementation of these decisions. If the issues cannot be resolved in a manner that will satisfactorily support the program, the decision to implement the whole program should be reconsidered.	Series of formal meetings devoted to each decision	-From Task #3 above

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MONTH	TASKS	METHOD	INFORMATION/SOURCES
2	7) Finalize implementation plans presented by Implementation Design Committee	Formal meeting towards end of month 2	- This report - More detailed implementation from Design Committee
2	8) Decide on communications program by top managers to LEAA personnel		

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IMPLEMENTATION DESIGN COMMITTEE

MONTH	TASKS	METHOD	INFORMATION/SOURCES
2	1) Work with planning staff to develop detailed implementation plan for top management review at end of month 2	--	- Report and recommendations - Top management - Planning staff
	2) In cooperation with planning staff prepares revised instructions for policy planning and program development		- Report and recommendations

PLANNING STAFF

MONTH	TASKS	METHOD	INFORMATION/SOURCES
1	1) Participate in initial discussions with top management	--	- Report and recommendations - Top management
1	2) Provide training session for top management on the policy planning and program development processes	During top management retreat (1/2 to 3/4 day)	- Top management - External Evaluators
2	3) With Implementation Design Committee, develop detailed plan for top management review at end of month 2	--	- Top management - Implementation Design Committee

EXTERNAL EVALUATORS

MONTH	TASKS	METHOD	INFORMATION/SOURCES
1	1) Present report to top management and planning staff	Written and oral report	-This Report
1	2) Attend final decision making session of retreat meeting on acceptance of policy planning and program development	Retreat	
1	3) Assist planning staff to provide top management with training session	1/2 - 3/4 day at retreat	-Planning staff

PHASE II -- STAGE 2
(Months 3 - 8)

GRADUAL INITIATION STAGE

BASIC TASK

Initiate gradual implementation of policy planning and
program development processes

ACTIVITIES

1) Revised instructions for policy planning and program
development are signed and issued by LEAA Director

2) Begin top management meetings using the policy planning
process

3) Provide training for and communication with staff

4) Begin implementaton of key top management decisions

5) Begin review of programs

6) Establish criminal justice function groups with Divison
managers

7) Top management begins to create a "need to know" among staff

8) Collect baseline data for later evaluation of implementation

9) Review experience of first eight months of implementation;
as needed, modify implementation plan

TOP MANAGEMENT

MONTH	TASKS	METHODS	INFORMATION/SOURCE
3	1) Director signs and issues revised instructions		
3-8	2) Use the policy planning process in top management meetings	Could include: (1) weekly half-day executive board type meetings; and broad type (2) bi-monthly retreat type sessions with planning staff participation	— LEAA planning staff
4-5	3) Review programs in terms of (a) Spread-chart analyses of multi-year implications of existing programs Analyses of implications of new program emphases (c) Cross program analyses		
3-18	4) Implement critical top management decisions according to agreed and planned schedule		
3-5	5) Begin a communications program by top managers		— Informal discussions — Memoranda — Group meetings
3	6) Discuss program with Divison managers. Inform them of: (a) their need for training (in month 4) (b) the purpose of "Action Plan" questions (c) the plan to initiate program manager training programs by criminal justice function (starting in month 6)		

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MONTH	TASKS	METHOD	INFORMATION/SOURCES
3	7) Inform training personnel of requirements: (a) to become trained (month 4) (b) to train Division managers (months (months 4-5) (c) to train personnel (months 6-8)		
3-8	8) Ask program development process questions with Division managers in relation to "Action Plan" type of proposals, etc. -- and insist on answers	Informal educative one-on-one interactions	-LEAA planning staff will "feed" appropriate questions for each review case
8	9) Decide upon mechanisms for obtaining state and local inputs to policy process	To be determined	-Planning staff -External evaluators

DIVISION MANAGERS

MONTH	TASKS	METHOD	INFORMATION/SOURCES
3-5	1) Respond to critical questions from top management; ask similar questions of their program managers	General discussions with respect to program/budget requests etc.	−Top management −Program managers
4	2) Receive information from top management on: (a) plans to introduce the processes (b) training requirements		
4	3) Start own training program	2-day programs	−Training staff
5	4) Form committee of Division managers to: (a) agree on criminal justice functional groups; and (b) schedule for program managers training		
6	5) Supervise and assist program managers in the use of the program development process		−Program managers

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PROGRAM MANAGERS

MONTH	TASKS	METHOD	INFORMATION/SOURCES
4	1) Respond to critical questions from Division managers		-Division managers
6	2) In criminal justice functional groups, participate in training programs	1-day training sessions, with 10-15 persons in each session	-Training staff

MONTH	TASKS	METHOD	INFORMATION/SOURCES
2-5	1) "Feed" top management with critical questions for program reviews		
3-4	2) Develop spread-chart program analyses for top management review		– Top management
	3) Develop cross-program analyses		
8	4) Participate with external evaluators in design of state and local input mechanisms	To be determined	– Top management – External evaluators

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TRAINING STAFF

MONTH	TASKS	METHOD	INFORMATION/SOURCES
3	1) Training for the trainers		-External Evaluators
4	2) Prepare training programs		
4-5	3) Train Division managers	2-day sessions	-Division managers
6-8	4) Train program managers	1-day sessions	-Program managers

EXTERNAL EVALUATORS

MONTH		TASKS	METHOD	INFORMATION/SOURCES
4-6	1)	Attend two top management policy making meetings (one weekley and one retreat type)	Observer (of process and progress)	
5-7	2)	Attend two training sessions (one Division and one program level)	Observer	
8	3)	Assist in design of state and local input mechanisms	To be determined	
6-8	4)	Collect evaluation data	Informal	

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PHASE II -- STAGE 3

(Months 9-18)

NORMAL MODE: PILOT TEST

BASIC TASK

Use the program development and policy planning processes
as normal modes of operation

ACTIVITIES

1) Supervise and enforce use of program development process

2) Provide supplementary training

3) Initiate agreed upon process for obtaining state and local
inputs to the policy planning process

4) Collect evaluation data regarding the implementation and
impact of policy planning and program development

MONTH		TASKS	METHOD	INFORMATION/SOURCES
9-18	1)	Make transition from essentially ex post facto policy process to forward planning mode	Continue regular meeting schedule	-Planning staff
9-18	2)	Begin to enforce cooperation and compliance with agreed decisions and integration processes	Rewards and sanctions. Witholding of funds, etc.	-With all offices and Divisions
10	3)	Initiate process for State and local inputs to policy deliberations	To be determined	

DIVISION MANAGERS

MONTH	TASKS	METHOD	INFORMATION/SOURCES
9-18	1) Supervise program development process and utilize as standard operating procedure		

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PROGRAM MANAGERS

MONTH	TASKS	METHOD	INFORMATION/SOURCES
9-18	1) Continue using program development process as standard practice		
9-11	2) Supplementary training for review and reinforcement	1/2 day sessions. 20-30 persons each	- Training staff

TRAINING STAFF

MONTH	TASKS	METHOD	INFORMATION/SOURCE
9-11	1) Provide supplementary training with program managers for review and reinforcement		- Program managers

PLANNING STAFF

MONTH	TASKS	METHOD	INFORMATION/SOURCES
9-18	1) Assist in top management's policy planning deliberations		

STATE AND LOCAL AGENCIES

MONTH	TASKS	METHOD	INFORMATION/SOURCES
10	1) Make inputs to policy planning process (in a manner determined by top management)	To be determined	

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EXTERNAL EVALUATORS

MONTH	TASKS	METHOD	INFORMATION/SOURCES
10	1) Attend one top management meeting	Observer	
10-14	2) Interview selected staff	Informal (10-15 people)	

PHASE III
(Months 16-18)

EVALUATION

STAGE 1 - Evaluation

BASIC TASK

Prepare evaluation report on the implementation and impact
of policy planning and program development processes (covers
months 1-15)

STAGE 2 - Review

BASIC TASK

Review evaluation report and make changes as needed

STAGE 1 -- EVALUATION

	MONTH	TASKS	METHOD	INFORMATION/SOURCE
TOP MANAGEMENT	16	1) Receive report	Written and oral reports	-External evaluators
EXTERNAL EVALUATORS	16	1) Prepare formal evaluation of implementation process and impact to date	Based on data over whole period of first 15 months	-Top management

STAGE 2 -- REVIEW

	MONTH	TASKS	METHOD	INFORMATION/SOURCE
TOP MANAGEMENT	17	1) Consider evaluation report on implementation of policy planning and program development	One day meeting	-Evaluators and LEAA planning staff
	18	2) Agree on and implement any needed changes		

PART TEN

SOME CONCERNS FOR THE IMMEDIATE FUTURE

TABLE OF CONTENTS

Throughout this report, we have noted areas which, in our opinion, should be given further attention by LEAA -- areas which we see as important both in their own right and in relation to the recommendations of this study. These include:

1) The current discussions about a possible reorganization of LEAA into a set of essentially independent units under an Office of Justice Assistance and Research Statistics.

We see this as an area needing rather immediate examination by LEAA in terms of some "hidden" dangers and costs, and in terms of LEAA's decisions about the recommendations of this report.

2) Developing the recommended framework for policy planning and program development to an operational level of detail in such areas as: development of a decision choice model; further specification of mechanisms and processes for identifying and arraying topics (Step III of policy planning); allocation/ assignment of responsibilities to specific persons/units for the roles and tasks of program development; further elaboration of criteria for specifying what is or is not a "program"; choice of coordinative mechanisms.

3) The LEAA/State and local interface.

4) Policy planning processes within the Offices of LEAA.

5) Management processes for implementing policy decisions regarding LEAA's various general activities (the program development process serves this purpose only for those activities specifically designated as "programs").

6) Developing a comprehensive, descriptive analysis of the difficult and complex criminal justice context in which LEAA must operate

-- and in which innovations must be developed, disseminated and utilized.

It is to these areas that we now turn our attention.

I. CHANGES IN LEAA'S STRUCTURE

At the present moment, there are deliberations which could lead to functional and structural separation of LEAA into a set of essentially autonomous and separated units -- loosely linked under an Office of Justice Assistance and Research Statistics (OJARS), and with research and action being quite separated. While we do not presume to predict what the outcome of these deliberations will be, they raise two very critical issues which we believe need immediate attention:

1) We believe there are some "hidden" dangers and costs in the current proposals -- and that the nature of these potential dangers and costs should be a significant part of the current deliberations.

2) In light of the current deliberations, the question does arise as to whether, to what extent and/or when the recommended policy planning and program development processes should be implemented.

It is to these two issues we now turn.

1. An Independent Research Unit -- Some Potential Dangers and Costs

In any Agency which has both research and action missions, there is a need to protect the research function -- a fact we have emphasized throughout this report. Research has relatively long time frames and its resource requirements and outputs are subject to a high degree of uncertainty. Thus, research is more vulnerable to being "sloughed off" in order to cut budgets and/or to "deliver results" in the short term.

The current deliberations about the future structure of LEAA stem in large part from the recognition of this need to safeguard the research

function against both internal and external pressure. The approach would be to create an independent research unit, separate from LEAA.* However, in our opinion there are some potential dangers and costs which should not be ignored.

One likely cost would be a strong reduction of interaction between research and program development -- an interaction which APDP was designed to enhance.

Even more importantly, it may well be that the independence and "safety" of the separated research unit would be more short term and illusory than real.

This latter point may not be immediately obvious -- but it is nonetheless a very real danger for a number of reasons. In the first place, the overall knowledge base for criminal justice is still relatively immature -- as is the overall criminal justice R&D system. They thus lack an established credibility and status to withstand pressures for frequent changes in focus or for "results". In the second place, the context for criminal justice is highly value-laden and political in nature -- which leads to an emphasis on short term results and to conflicting views and pressures of what "ought" to be the foci of research. Finally, it appears to be the research community (e.g.: the National Academy of Sciences) which is the primary supportive constituency for the research function. However, it would be our expectation (as is typical in situations such as this): (1) that a separate research unit would before long come under attack from more "action" oriented criminal justice constituencies for such matters as lack of usable results, wasted effort, etc.; and (2) that the research community would not be a sufficiently powerful constituency to protect a separated research unit from such attacks. It would thus be our projection

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*In the current thinking, a new research unit would be created called the National Institute of Justice (NIJ). LEAA and NIJ would both be organizational units within OJARS, but would be quite loosely linked.

that in the not too distant future a separated research unit might
well become more action than research oriented in order
to defend its existence against politically powerful action oriented
criminal justice constituencies.

We recognize that currently prevailing opinions suggest that a
separated criminal justice research unit may well become a reality
in the near future. Nonetheless, it is our position that this is a
less than optimal option at this time. It neglects the nature of a
total process of innovation -- in which consideration must be given
to critical issues of balance and integration across a variety of
knowledge production, knowledge utilization and linkage functions.
It inadequately considers the difficult context in which criminal
justice innovation must be developed and used and in which LEAA and/or
a separated research unit must operate. It would likely leave the
separated research unit vulnerable and essentially defenseless some
years "down the road".

It is our position, then, that discussion of the above issues needs
to be part of the current deliberations about the future of LEAA.
While we have not been party to these deliberations, it is our dis-
tinct impression that the above issues have not been given adequate
consideration. We further recommend that LEAA undertake an in-depth
but very short term analysis of these issues in the immediate future.

One further comment must be made here. While the separation of the
research function from LEAA would not, in our opinion, be an optimal
choice, it is not an infeasible option. If indeed such a separation
does take place -- as currently seems quite possible -- then the issue
arises about whether and how research and action units could and/or
would relate to each other. This is an issue which requires further
study. It is our position that the policy planning and program develop-
ment processes in the specific forms recommended in this report would
not be appropriate without considerable modifications -- and that

different integrative mechanisms for communication and coordination
would therefore have to be designed. This would require some study
beyond the original domain of this project.

2. Implementation of Recommendations

The above discussion raises the question as to whether, to what extent,
and/or when the recommendations of this report should be implemented.
As we have just noted, we would not recommend these particular forms
for policy planning and program development in relation to a loosely
linked organizational structure. Thus, the issue here revolves
around the perception of LEAA's top management about the likelihood
of there being (or not) a major restructuring of LEAA in the near
future. For example:

Perception: Major Change Unlikely

If LEAA management is confident that LEAA's structure will
remain essentially as it is now (or if management is committed
to a strong consensus style of management regardless of LEAA's
structure), then the recommendations in this report should be
implemented in the near future. As we noted in Part Nine, we
believe that a long hiatus before further implementation would
be detrimental.

Perception: Major Change is Likely

If it is LEAA management's considered opinion that current
deliberations will lead to major changes in LEAA's basic struc-
ture, then we would recommend the following:

1) Management would still begin discussions of key manage-
ment decisions in the first stage of the implementation
plan outline discussed in Part Nine.

2) Management would initiate a new study to design management processes for policy planning and program development which build up (as appropriate) the basic principles underlying our specific recommendations -- but in a form which would be appropriate under a very loosely linked structure.

3) The specific processes recommended in this report would not be implemented. Their appropriateness would be determined by the results of "1)" and "2)" above. In any case, the appropriateness of these processes (in the form recommended) would be determined by management's decisions concerning: (a) the extent they desire interaction between research and program development (and across any of LEAA's general activities); and (b) whether or not management is committed to a consensus style of leadership.

Perception: Likelihood of Change is Uncertain

If, in the perception of LEAA's management, the nature of LEAA's future is still unclear, then we would recommend a partial implementation along the following lines:

1) Begin the first stage of implementation -- involving management deliberations about the mission, structure and management leadership processes (and other key management decisions).

2) The second stage of implementation (initial but limited implementation) could be modified to focus primarily on developing cross-Office communication and on fostering attitudes and perspectives which would be supportive of integrative efforts regardless of the future structure of LEAA.

It is to be noted that regardless of whether LEAA's structure changes significantly or not, the key management decisions noted in Part Nine (i.e., the first stage of implementation) need to be determined by LEAA's management. Further, it is our perspective that management's views concerning these decision areas need to be a part of (and could possibly influence) the current deliberations about LEAA's future.

Further, the issues of transition following the recent appointment of a new LEAA Director could be importantly aided by some aspects of the implementation plan discussed in Part Nine -- specifically: the first stage discussion of key management decisions; a modified, "brief summary" form of ex post facto analyses of current LEAA programs and other activities in terms of the priority issues they address, the goals they seek to achieve, the strategies being used, projections of their life span, and their resource requirements over their projected life span.

Further, the policy planning process recommended in this report could be used within the separate Offices of LEAA (as LEAA is currently structured or within the separate units - NIJ, LEAA, etc. - under an OJARS type of structure).

In a word, then, whether or not to implement fully our recommendations at this time depends upon: (1) management's commitment to the type of integrative policy planning and program development processes being recommended; and (2) management's perceptions concerning the likelihood of change in LEAA's structure. At the same time, it is our view that some aspects of the suggested implementation plan would be helpful to LEAA's management regardless of the shape and direction of LEAA's future.

II. FURTHER OPERATIONALIZING OF POLICY PLANNING AND PROGRAM DEVELOPMENT

This study provides a basic framework for policy planning and program development. It is obvious that this framework needs now to be developed to an operational level of detail in several areas — specifically:

1) Development of some form (whether simple or complex) of a decision choice model — i.e., a mechanism that would enable the Agency to compare and choose between alternatives during the Priority Issues, Goals, Strategies and Action Plan steps of the Action Decision Stage of the policy planning process.

2) Further specification of how substantive topics (issues, problems, opportunities) are to be identified — i.e., mechanisms, processes, sources.

3) Further study and choice of the coordinative mechanisms to be used within (and between) the policy planning and program development processes.

4) Further elaboration of the criteria for specifying what is to be considered a "program" for the purpose of inclusion (or not) in the program development process.

5) Allocation/assignment of responsibilities for the various roles, tasks and steps of the program development process.

We have in this report made comments and/or suggestions with respect to these items. However, it would have been beyond the scope of this study to have developed the kind of organization study needed to deal with above — or to have developed detailed recommendations in these areas. Rather, they are identified here as steps the Agency should now undertake as part of the process of implementing the recommendations of this report.

In the discussion below, therefore, we will briefly discuss each of the above in terms of the main considerations involved and the direction that further study might lead.

1. Developing a Decision Choice Model

The policy planning process discussed in this report provides a framework for policy decision making concerning selection of the Agency's priority issues and related impact goals, selection of strategies, and approval of action plans. The next step (which was beyond the scope of this project) is to develop some kind of decision choice model which would permit the Agency, at each of the policy decision steps, to compare alternatives in terms of their relative importance, their feasibility, and cost/benefit considerations. Such a model would involve development of specific criteria for decision choices* and some method for "weighting" or "scoring" alternatives.

A variety of types of decision choice models could, of course, be developed which would be applicable to the recommended policy planning process. However, we are here suggesting that: (1) a possible scoring model is inherent in the recommended policy planning and program development process; and (2) that it would not be difficult to develop this potential model into an effective operational decision choice model. As is illustrated in Figure 11, each step of the Action Decision Stage of policy planning:

1) gives consideration to the basic issue of the relative importance of alternatives (in relation to the Agency's purpose and mission; in terms of issues of balance, synergy, portfolios; etc.);

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* In Part Six, we suggested one possible set of criteria for priority issue decisions. We also discussed the use of effectiveness, efficiency and equity for making decision choices.

	Priority Issues/Goals	Strategies	Action Plans
Importance	e.g.: primary basis for decision choices (issues of effectiveness, efficiency, equity; levels of desired impact; urgency; criteria & indicators; etc.)	e.g.: State and local acceptance; implications for LEAA; probable extent of impact on priority issue; etc.	e.g.: projected impact on priority issue; opportunities for staff development, for developing cross-Office collaboration; etc.
Feasibility	e.g.: preliminary consideration of alternative strategies, barriers, resource requirements, etc.	e.g.: preliminary consideration of action plan steps, elements, requirements, etc.	e.g.: detailing of feasibility issues for management decision
Cost/Benefit	e.g.: preliminary consideration of alternative strategies, barriers, resource requirements, etc.	e.g.: preliminary consideration of action plan steps, elements, requirements, etc.	e.g.: detailing of feasibility issues for management decision

Figure 11

The Recommended Policy Planning and Program Development Processes
as a Basis for a Decision Choice Model

2) "looks ahead" to consider issues of <u>feasibility</u> (What are potential barriers, problems, opportunities? What resources are needed, and are they available?, etc.)

3) "looks ahead" to consider <u>cost/benefit</u> issues (What are the relative anticipated costs and benefits across alternatives? What is the incremental cost/benefit for modifying/extending the use of a currently existing strategy? How would the costs of responding to one priority issue affect the funding capabilities of the Agency in relation to other priority issues? Etc.).

Further, it should be noted that throughout the steps the Action Decision Stage of policy planning, considerations of feasibility and of costs/benefits becomes increasingly detailed.

We may illustrate the above as follows:

In the <u>Priority Issue step</u> of policy planning, the issue of importance would be the cornerstone criterion for making decision choices among the topics identified in the previous step of policy planning. Importance would include such matters as: issues of effectiveness, efficiency and equity; level of impact desired/ needed; urgency; etc. This also implies consideration of impact criteria and indicators. At the same time, consideration must also be given here, in at least a preliminary manner, to concerns about the feasibility and costs/benefits of any LEAA attempt to respond to a particular issue. This implies a preliminary consideration of potential strategies, barriers, resource requirements, etc. Relatedly, the level at which impact <u>goals</u> would be set would need to reflect the interaction between concerns for importance, feasibility and costs/benefits.

In the <u>Strategy step</u> of policy planning, issues of feasibility and cost/benefits would be the cornerstone criteria of decision

choices among alternative strategies. In order to do this, preliminary consideration would need to be given to the steps and elements that could become part of an action plan. In this step, the importance of a strategy would be defined in terms of such matters as whether or not a strategy is likely to be accepted "down-the-road" by State and local agencies; whether or not a particular strategy has potential political or con- stituency-building implications for the Agency; whether a strategy interacts synergistically or in conflict with other strategies; and of course, the extent to which it might impact a priority issue.

In the <u>Action Plan step</u>, the issues of feasibility and cost/ benefits must be sufficiently detailed to permit clear identi- fication of barriers and the resources required (including management action) to overcome any barriers; to permit a realistic cost/benefit analysis (including projected costs for the life of the action plan); and, therefore, to permit manage- ment decision to approve or reject (or modify) the action plan. Importance would be defined primarily in terms of projected impact of an implemented action plan on a priority issue, but consideration could also be given to such matters as opportunities for staff development, for developing cross-Office collaboration, etc.

Additionally, we may note that for programmatic strategies, the steps of the recommended Program Development process provide a basis for a scoring model for policy decision choices. For example, when con- sidering alternative strategies, each alternative could be assigned a weighting of the probable feasibility and costs/benefits of pro- totype and field testing, demonstration, marketing, etc. The "typical concerns" questions listed with each program development step in Part Seven illustrate the type of criteria that could be used to "score" each of the program development steps. In the Action Plan

step of policy planning, the further detailing of the feasibility
and costs/benefits of each step of the program development process
would provide a meaningful basis for management decisions to approve
or reject an action plan for the development of a program.

Another consideration should be noted here. While other decision
choice models could be developed, it is our opinion that using the
recommended policy planning and program development processes to
develop a decision choice model for LEAA simply makes good sense.
It would by definition "fit" the Agency's policy planning process --
not an insignificant consideration. It would reinforce the use of
of the policy planning process. It would, in our opinion, increase
staff's understanding of, support for, and ability to make meaningful
inputs to policy planning. Finally, as already noted, such a decision
choice model would not be difficult to develop.

In light of the above, we recommend that LEAA develop a decision
choice model based upon the recommended policy planning and program
development processes.

One final comment should be made here. The decision choice model
suggested above could be developed at various levels of complexity
and sophistication -- ranging from a simple checklist approach to a
highly complex mathematical formula.[*] It is, of course, an LEAA
policy decision as to what level of complexity would be developed.
However, based on our understanding of the nature and needs of LEAA,
it is our strong opinion that the decision choice model should be
developed in a relatively simple, uncomplicated manner -- at least
at this point in time. Regardless of the type of decision choice
model used, it should be designed in a manner that permits the
Agency to be as specific as is feasible in determining goals, criteria,
indicators.

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[*] As we noted in Part Six, we are familiar with the literature in
this area and would be willing to discuss this with LEAA if
requested.

2. Sources and Processes for Topic Identification

As was noted in Parts Five and Six of this report, the Topics step is
a critical foundation step of policy planning simply because the
adequacy of the initial identification of issues to which the Agency
will consider responding determines the adequacy of the final port-
folio of priority issues which the Agency will attempt to impact.
In this respect, then, at least four concerns need to be carefully
addressed.

A. Scope and Complexity

The identification of possible topics for the Agency's considera-
tion is not a simple task. On the one hand, it simply would not
be feasible for the Agency to consider every possible topic which
might validly fall within the scope of the Agency's purpose
and mission. On the other hand, topic identification is complex
in the sense that topics may be considered at different levels
of specificity, may be identified differently from different
perspectives, may be identified in varying combinations, may
interact or overlap, etc.

B. Sources

Issues, problems and/or opportunities for the Agency to consider
may come from a variety of sources, internal or external to the
Agency -- as was noted and illustrated earlier in this report.
In particular, it is important here to re-emphasize several
important sources of topics: the research of the Agency, or
research performed by others; LEAA management; LEAA staff;
the Congress, the President, the Attorney General and the
Department of Justice; persons and agencies at the "practice"
level; and various constituencies of LEAA and/or its Offices.
At times, sources external to the Agency may "present" topics

to which the Agency is "expected" to respond. At other times, the Agency may take the initiative to "seek out" topics from various sources.

C. Issues of Balance and Interaction

In marshalling the range of topics to be considered by the Agency, consideration must be given to ensure that there is an appropriate balance and interaction with respect to such matters as: short term and long term criminal justice system concerns; the various missions of the Agency; the various criminal justice functions; research and action; the purpose/mission of the Agency and the political realities in which the Agency must operate; the needs and demands of the Agency's various constituencies; the various sources from which topics are obtained; etc.

D. Mechanisms for Marshalling Topics

The process of topic identification, then, is a process of marshalling together a range of topics which are significant, not trivial; which are broad and balanced in scope; yet which are also sufficiently limited so that consideration of identified topics is a feasible task for the Agency. Sepcifically, then, the mechanisms used by the Agency to identify topics must be such as to ensure that:

1) useful input can be effectively and efficiently obtained from various internal and external sources;

2) appropriate and adequate information about suggested topics is provided to management;

3) suggested topics can be considered by management from different perspectives (e.g.: impact on LEAA as well as impact on the issue at hand; short and long term costs and benefits; capabilities of LEAA and user agencies; interaction with other topics, with existing LEAA activities

We are suggesting here, therefore, that it would likely be quite useful for LEAA to examine its processes and mechanisms for topic identification in terms of an evaluation of existing mechanisms within the Agency and developing additional mechanisms where appropriate. While we could not address this concern comprehensively in this study, we can note that the suggested Priority Issue Decision Memo provides one mechanism for presenting appropriate information to management about specific topics (i.e., a topic is, in effect, a "suggested" priority issue). We may also note that the discussion in Section III below regarding the LEAA State and local interface is relevant here.

3. Mechanisms for Coordination

In Part Eight of this report we noted that a variety of coordinative mechanisms (e.g.: working groups, project teams, sign-offs, etc.) might be appropriate in relation to the recommended policy planning and program development processes. However, we also cautioned against a random, haphazard choice and use of coordinative mechanisms. It was beyond the scope of this study to analyze the coordinative mechanisms currently used by LEAA (though we noted that working groups seemed to be developing a negative reputation among LEAA staff) or to suggest what coordinative mechanisms should be used (though we did provide an illustrative scenario).

It is our purpose here simply to reiterate the recommendation we made in Part Eight: that LEAA undertake a study to determine what coordinative mechanisms would be most appropriate for use with the recommended policy planning and program development processes, in what situations they should be used, and how they should be introduced and implemented. This would, of course, involve an examination in some depth of LEAA's organizational structures and management processes.

We do note here that this study about coordinative mechanisms would
be especially useful in relation to consideration of possible
changes in LEAA's structure (as discussed in Section I above),

4. Designating "Programs" for Program Development

As was noted earlier in this report, LEAA staff expressed confusion
about what does or does not go into the APDP process. In part, this
confusion uncertainty may simply reflect varying usage of the term
"program" -- a term which is all too "common" in everyday usage.
More significantly, however, we think that this confusion represents
an uncertainty about how to define or identify what is a "program"
for the purpose of program development. We have suggested a basic
principle (of exclusion) for determining what is or is not a "program",
and have suggested what appears to us to be a reasonable application
of this principle to LEAA's activities. However, it is also our view
that LEAA should now detail this (or some other) principle to a level
of specificity which would provide clear differentiation between what
does and does not belong within the Agency's program development
process.

5. Allocating Responsibilities for Program Development Tasks

The program development process described in Part Seven specifies
the sequencing of steps, activities, tasks, and roles required for
the development of a program. As such, it is a framework for
program development which permits but does not specify to whom
responsibilities should be allocated or assigned for specific roles
and tasks, how such allocations should be determined, or how perform-
ance of assigned responsibilities would be monitored. This would
have required an organizational study of such matters as issues of
domain, authority, and power within the Agency and within Offices;
existing position responsibilities; etc. Rather, we have assumed
that allocation of responsibilities is essentially a normal admin-

istration issue, to be dealt with by the Agency. However, the
Agency might well find it useful to develop a study of the organi-
zational factors and issues which affect how the Agency does and/or
should assign responsibilities (e.g.: issues of power and domain;
issues of capability requirements and availability; etc.).

III. THE LEAA/STATE AND LOCAL INTERFACE

Throughout this report, we have commented on the nature and importance of the interface between LEAA and State and local criminal justice agencies. Our discussion of this interface can be summarized as follows:

1) LEAA's legislative mandate is to impact the criminal justice system, specifically in relation to State and local agencies.

2) With respect to R&D and innovation, consideration must be given to: (a) obtaining information about State and local agency issues, problems and opportunities to which LEAA might respond; (b) the capability and willingness of State and local agencies to adopt and use innovations developed by LEAA; and, therefore, (c) the processes and mechanisms for linkage between LEAA and State and local agencies.

3) LEAA relates to State and local agencies in different ways -- e.g.: through programs developed by LEAA; through block funds; through incentive funding; etc. This means that different parts of LEAA may be relating to the same or different State and local agencies (or personnel within a single agency) at the same or different times and with similar or different (and at times perhaps conflicting) purposes and objectives.

4) "State and local agencies" do not present a simple, homogeneous interface. To the contrary, they constitute a large and disaggregated set of organizations, with varying perceptions of their issues, problems or opportunities. Developing "consensus" thus tends to be quite difficult.

5) The purposes and missions of LEAA and of State and local agencies are not the same, yet they are quite interactive.

In a word, then, interaction across the LEAA/State and local interface is very important -- yet also complex and difficult to manage. It is for this reason that we believe LEAA should undertake a further study of the LEAA/State and local interface to determine the types of processes and mechanisms which would be most appropriate and useful for:

1) providing input to LEAA's policy planning processes -- both for LEAA as an organization and for the different Offices of LEAA;

2) ensuring appropriate linkages in relation to program development and LEAA's other general activities;

3) ensuring integration and coordination within LEAA across the Agency's various interactions with State and local agencies;

4) responding to differing perspectives, needs, purposes associated with LEAA's various general activities.

These are concerns which we have found to be important for the relationship between a mission-oriented Federal agency and the "field" which it serves.[*]

One further point may be made here. In our initial proposal for this study, we suggested that a major benefit from the design and testing of a program development process for LEAA would be its potential for transfer to other levels of government, i.e., to State and local criminal justice agencies and planning agencies. Given the importance and difficulty of developing and maintaining useful

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[*] Radnor, Spivak and Hofler (1976).

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interaction between LEAA and State and local agencies, we reiterate
the above suggestion even more emphatically. Thus, we would suggest
that LEAA begin to evaluate the need, feasibility and potential costs/
benefits for transferring its policy planning and program development
processes to State and local level agencies of the criminal justice
system. They obviously would at least involve: (1) an evaluation
of the need for tailoring these models to the characteristics and
requirements of State and local level agencies; (2) provision for
training. In effect, this would become an LEAA program, prepared
through LEAA's program development process.

Relatedly, we may note that the LEAA Criminal Justice Training
Center system "was created in an effort . . . to ensure the develop-
ment and delivery of high quality, practical, and responsive training
for State Planning Agency (SPA), Regional Planning Unit (RPU), and
Local Planning Unit (LPU) personnel in the LEAA delivery system."[*]
Operational agency personnel also participate. Within these centers
there is a planning course which centers around a specific General
Planning Process Model. A course in program development is currently
being prepared for use within these training centers.

These training center courses focus around concerns similar to those
we have expressed above and in the body of this report. Therefore,
it would seem to us that an examination should be made by LEAA to
determine the potential for synergy or conflict between the work of
the training centers and: (1) the Agency's policy planning and
program development processes; and (2) the possible transfer of
the Agency's policy planning and program development processes to
State and local criminal justice agencies.

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[*] Attachment B, RFP No. J-015-LEAA-8, June 30, 1978.

IV. POLICY PLANNING WITHIN LEAA'S OFFICES

This study has focused on LEAA as an Agency; we have not studied
policy planning within each of LEAA's Offices. Nonetheless, we
do believe it is appropriate to make the following comments and
suggestions.

First, the basic principles underlying the recommended Agency policy
planning process are, in our view, applicable to policy planning
within the various LEAA Offices. It was our observation that each
of the Offices use some process for policy planning, though we did
not examine, evaluate and/or make suggestions on this matter.
Thus, we think it would be helpful for LEAA now to undertake an
analysis of policy planning within its Offices — both in order to
ensure integration of policy planning at the Agency level and policy
planning at the Office level; and (as relevant) to incorporate the
principles of the recommended policy planning process into the
policy planning processes of the Offices. We may note that this
recommendation would be relevant whether LEAA's structure is changed
significantly or remains essentially as it is now. However, we also
note that if LEAA were to be reorganized into essentially separated
and autonomous units, ensuring effective and appropriate policy
planning processes within these units would be especially important --
and, in our opinion, the groundwork should be done before the final
decisions are made about the future structure of LEAA.

V. MANAGEMENT PROCESSES FOR LEAA'S GENERAL ACTIVITIES

As was recognized in the discussion of this report, program development is only one of LEAA's broad general activities. While this study has focused only on management processes for program development, we believe that this study could be useful in relation to the management of LEAA's other general activities. That is, while the specific steps of the program development process would likely not be applicable to LEAA's other general activities, the principles of the program development process (as discussed in Chapters Five and Seven) could be used to develop similar management processes for LEAA's other general activities -- tailored, of course, to the particular characteristics and requirements of each general activity. Developing such management processes for each general activity would have the additional benefit of providing further basis for an Agency decision choice model as discussed in Section II above.

VI. UNDERSTANDING THE CRIMINAL JUSTICE CONTEXT

In Part Two of this report, we suggested that the overall criminal justice context in which LEAA must operate -- and in which innovations would be developed, disseminated and utilized -- is a very difficult and complex context.

We may note that the knowledge base for criminal justice R&D and innovation is relatively immature and lacks the kind of acceptance and legitimacy that is found in more established sectors such as health or aviation. A variety of social science fields and disciplines is relevant for criminal justice R&D and innovation -- as are various physical and natural sciences. Relatedly, the institutions involved in criminal justice R&D/innovation are diffuse and disaggregated. Some of these institutions are relatively young (e.g.: LEAA). In many instances, businesses involved in the development, manufacturing and dissemination of criminal justice innovations see criminal justice as a secondary or tangential market.* Similarly, criminal justice is often only a secondary concern for researchers in relevant social or physical sciences. Linkages tend to be underdeveloped and/or diffuse among the various knowledge producers, and between knowledge producers and the operational criminal justice system.

The overall criminal justice context is highly divergent, value-laden, and political in nature. Various parts of society perceive criminal justice issues in different and even conflicting ways. Society's concern about criminal justice changes over time. Different State and local units of government have different, and at times conflicting laws, procedures, etc. The operational criminal justice system at the State and local level is very complex, disaggregated and diffuse -- both across and between levels of government and across criminal

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*Radnor, 1975.

justice functions.

In light of the above, it is difficult to develop consensus on criminal justice issues and goals. Clear identification of causes and clear measurement of impacts (from programs, funding, etc.) are difficult tasks. How an Agency can and/or should relate to the "field" is not a simplistic issue — the relationship may vary according to whether it is with the R&D/innovation part of the criminal justice system, or the operational part; according to what R&D/innovation function is involved; according to what level of or which specific criminal justice agency is involved; according to the type of LEAA activity involved; etc.*

The kind of context described above makes it difficult for LEAA to fulfill its purposes and mission. Yet it is precisely this fact that calls for a clear and broad understanding of the criminal justice context upon which to base the policies and activities of LEAA.

We do, of course, assume that LEAA management and staff are knowledgeable about the criminal justice context — and that there is a variety of literature describing various aspects of this context. At the same time, it is our perception that there is not currently available a study which describes to criminal justice context comprehensively and/or in a manner that would be most useful for policy planning, program development and other activities of LEAA.**

We are therefore suggesting that LEAA undertake such a study.

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*For a more complete discussion of the "Agency/Field relationship" issue, see Radnor, Spivak and Hofler, 1976.

**We have developed a preliminary analysis of the criminal justice and other sectors (Radnor, Spivak, and Hofler, 1976). A summary of our descriptive analysis of the criminal justice sector is provided in the Appendix of this report.

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APPENDICES

APPENDIX B

THE QUESTIONNAIRE STUDY

A survey questionnaire was developed (with the assistance of LEAA staff) to determine the response of LEAA personnel to APDP and to provide baseline data for future assessments. In developing the questionnaire, we made use of comments made by LEAA staff in interviews in response to the question: "By what criteria should we evaluate APDP?"

The covering letter promised confidentiality and the respondents were requested to mail their replies to CISST in Evanston, Illinois. Replies were received mainly during September, 1978. Distribution of the questionnaire was provided through internal LEAA communication mechanisms to LEAA professional staff (approximately 300). Thus, it was anticipated that a number of LEAA would not perceive the questionnaire relevant to them and would therefore not return the questionnaire (a few replied, specifically stating APDP was not relevant to their jobs).

A total of 122 questionnaires were returned, which we consider to be a significant response. Of these: 32 were from staff offices (including OAI), 31 from OCJP, 27 from NILECJ, 11 from OJJDP, 9 from OCJET, 1 from OCACP and 7 anonymous. It is felt that a significant number of NILECJ, OCJP and OJJDP responses were received.

Respondents had an average GS grade of 13.5 and had 9.6 years of government experience (ranging from 1 to 30 years). About 60% of the respondents had received APDP training.

I. IMPACT OF APDP

The respondents were asked to compare the current status of several statements with the situation prior to APDP. They were asked to choose one of the following answers: much more (MM), more (M), the same (TS), less (L), a lot less (LL).

Question 1: "New action programs are based on research, testing and evaluation."

	Number of Responses					
	MM	M	TS	L	LL	T
All Respondents	7	42	51	2	1	103
NILECJ	4	14	9			27
OCJP	2	11	14	1	-	28
All Others	1	17	28	1	1	48

	% of Responses					
All Respondents	6.8%	40.8%	49.5%	1.9%	1.0%	100%
NILECJ	14.8	51.9	33.3	-	-	100
OCJP	7.1	39.3	50.0	3.6	-	100
All Others	2.1	35.4	58.3	2.1	2.1	100

Question 2: "On-going action programs are modified based on research, testing and evaluation."

Number of Responses

	MM	M	TS	L	LL	T
All Respondents	2	30	66	1	1	100
NILECJ	1	8	15	–	–	24
OCJP	1	7	20	–	–	28
All Other	–	15	31	1	1	48

% of Responses

	MM	M	TS	L	LL	T
All Respondents	2	30	66	1	1	100%
NILECJ	4.2	33.3	62.5	–	–	100
OCJP	3.6	25.0	71.4	–	–	100
All Others		31.2	64.6	2.1	2.1	100

Question 3: "Action programs proven to be ineffective based on research, testing, and evaluation are discontinued by LEAA."

Number of Responses

	MM	M	TS	L	LL	T
All Respondents	2	15	68	5	1	91
NILECJ	–	3	15	2	–	20
OCJP	2	7	16	1	–	26
All Others	–	5	37	2	1	45

% of Responses

	MM	M	TS	L	LL	T
All Respondents	2.2%	16.5%	74.7%	5.5%	1.1%	100%
NILECJ	–	15.0	75.0	10.0	–	100
OCJP	7.7	26.9	61.5	3.8	–	100
All Others	–	11.1	82.2	4.4	2.3	100

Question 4: "Evaluation staff participate in the design of test programs."

Number of Responses

	MM	M	TS	L	LL	T
All Respondents	20	25	39	3	–	87
NILECJ	13	5	8	–	–	26
OCJP	3	7	10	1	–	21
All Others	4	13	21	2	–	40

% of Responses

	MM	M	TS	L	LL	T
All Respondents	23%	28.7%	44.8%	3.4%	–	100%
NILECJ	50.0	19.2	30.8	–	–	100
OCJP	14.3	33.3	47.6	4.8	–	100
All Others	10.0	32.5	52.5	5.0	–	100

Question 5: "Evaluation staff participate in the design of demonstration programs."

Number of Responses

	MM	M	TS	L	LL	T
All Respondents	5	34	41	4	–	84
NILECJ	2	10	8	1	–	21
OCJP	1	9	12	1	–	23
All Others	2	15	21	2	–	40

% of Responses

	MM	M	TS	L	LL	T
All Respondents	6.0%	40.5%	48.8%	4.8%	–	100%
NILECJ	9.5	47.6	38.1	4.8	–	100
OCJP	4.3	39.1	52.2	4.3	–	100
All Others	5.0	37.5	52.5	5.0	–	100

Question 6: "Staff from different offices interact."

Number of Responses

	MM	M	TS	L	LL	T
All Respondents	12	40	32	12	2	98
NILECJ	5	14	6	1	-	26
OCJP	3	10	9	4	1	27
All Others	4	16	17	7	1	45

% of Responses

	MM	M	TS	L	LL	T
All Respondents	12.2%	40.8%	32.7%	12.2%	2.0%	100%
NILECJ	19.2	53.8	23.1	3.8	-	100
OCJP	11.1	37.0	33.3	14.8	3.7	100
All Others	8.9	35.6	37.8	15.6	2.1	100

Question 7: "Action program staff participate in the design of test programs by research offices."

Number of Responses

	MM	M	TS	L	LL	T
All Respondents	9	20	56	5	3	93
NILECJ	7	7	11	-	-	25
OCJP	1	8	17	-	-	26
All Others	1	5	28	5	3	42

% of Responses

	MM	M	TS	L	LL	T
All Respondents	9.7%	21.5%	60.2%	5.4%	3.2%	100%
NILECJ	28.0	28.0	44.0	-	-	100
OCJP	3.8	30.8	65.4	-	-	100
All Others	2.4	11.9	66.7	11.9	7.1	100

Question 8: "Action program staff are involved in the selection of topics for program design and testing."

Number of Responses

	MM	M	TS	L	LL	T
All Respondents	2	16	66	5	3	92
NILECJ	1	7	16	-	-	24
OCJP	1	2	21	-	1	25
All Others	-	7	29	5	2	43

% of Responses

	MM	M	TS	L	LL	T
All Respondents	2.2%	17.4%	71.7%	5.4%	3.3%	100%
NILECJ	4.2	29.2	66.7	-	-	100
OCJP	4.0	8.0	84.0	-	4.0	100
All Others	-	16.3	67.4	11.6	4.7	100

Question 9: "Tested and evaluated programs influence block fund usage."

Number of Responses

	MM	M	TS	L	LL	T
All Respondents	4	15	62	3	3	87
NILECJ	2	6	13	-	-	21
OCJP	-	4	18	1	1	24
All Others	2	5	31	2	2	42

% of Responses

	MM	M	TS	L	LL	T
All Respondents	4.6%	17.2%	71.3%	3.4%	3.4%	100%
NILECJ	9.5	28.6	61.9	-	-	100
OCJP	-	16.7	75.0	4.2	4.2	100
All Others	4.8	11.8	73.8	4.8	4.8	100

Question 10: "Alternative approaches to solving criminal justice problems

are systematically considered."

Number of Responses

	MM	M	TS	L	LL	T
All Respondents	4	20	58	8	—	90
NILECJ	1	6	13	3	—	23
OCJP	2	2	19	2	—	25
All Others	1	12	26	3	—	42

% of Responses

	MM	M	TS	L	LL	T
All Respondents	4.4%	22.2%	64.4%	8.9%	—	100%
NILECJ	4.3	26.1	56.5	13.0	—	100
OCJP	8.0	8.0	76.0	8.0	—	100
All Others	2.4	28.6	61.9	7.1	—	100

II. YOUR VIEW OF APDP

The second section of the questionaire concerned the respondent's view of APDP. They were requested to reply as to their agreement or disagreement with the following statements by choosing one of the following answers: strongly agree (SA), agree (A), don't know (DK), disagree (D), strongly disagree (SA).

Question 11: "APDP is relevant to my job."

Number of Responses

	SA	A	DK	D	SD	T
All Respondents	34	45	12	12	6	109
NILECJ	14	10	—	2	—	26
OCJP	8	13	3	5	1	30
All Others	12	22	9	5	5	53

% of Responses

	SA	A	DK	D	SD	T
All Respondents	31.2%	41.3%	11.0%	11.0%	5.5%	100%
NILECJ	53.8	38.5	—	7.7	—	100
OCJP	26.7	43.3	10.0	16.7	3.3	100
All Others	22.6	41.6	17.0	9.4	9.4	100

Question 12: "APDP makes my job more difficult."

Number of Responses

	SA	A	DK	D	SD	T
All Respondents	10	19	27	43	10	109
NILECJ	4	8	1	11	2	26
OCJP	3	7	6	13	1	30
All Others	3	4	20	19	7	53

% of Responses

	SA	A	DK	D	SD	T
All Respondents	9.2%	17.4%	24.8%	39.4%	9.2%	100%
NILECJ	15.4	30.8	3.8	42.3	7.7	100
OCJP	10.0	23.3	20.0	43.3	3.3	100
All Others	5.6	7.6	37.8	35.8	13.2	100

Question 13: "The basic concepts of APDP make sense."

Number of Responses

	SA	A	DK	D	SD	T
All Respondents	48	48	7	5	2	110
NILECJ	12	13	-	-	2	27
OCJP	15	11	3	1	-	30
All Others	21	24	4	4	-	53

% of Responses

	SA	A	DK	D	SD	T
All Respondents	43.6%	43.6%	6.4%	4.5%	1.8%	100%
NILECJ	44.4	48.1	-	-	7.4	100
OCJP	50.0	36.7	10.0	3.3	-	100
All Others	39.6	45.4	7.5	7.5	-	100

Question 14: "Office roles in APDP are defined and understood."

Number of Responses

	SA	A	DK	D	SD	T
All Respondents	4	18	22	48	17	109
NILECJ	1	8	4	11	3	27
OCJP	1	5	6	12	5	29
All Others	2	5	12	25	9	53

% of Responses

	SA	A	DK	D	SD	T
All Respondents	3.7%	16.5%	20.2%	44.0%	15.6%	100%
NILECJ	3.7	29.6	14.8	40.7	11.1	100
OCJP	3.4	17.2	20.7	41.4	17.2	100
All Others	3.8	9.4	22.6	47.2	17.0	100

Question 15: "The APDP instruction needs revision."

Number of Responses

	SA	A	DK	D	SD	T
All Respondents	18	35	28	24	3	108
NILECJ	3	9	7	8	0	27
OCJP	4	9	9	5	2	29
All Others	11	17	12	11	1	52

% of Responses

	SA	A	DK	D	SD	T
All Respondents	16.7%	32.4%	25.9%	22.2%	2.8%	100%
NILECJ	11.1	33.3	25.9	29.6	-	100
OCJP	13.8	31.0	31.0	17.2	6.9	100
All Others	21.1	32.7	23.1	21.1	2.0	100

Question 16: "Top management is committed to APDP."

Number of Responses

	SA	A	DK	D	SD	T
All Respondents	29	36	30	9	3	107
NILECJ	10	9	5	0	1	25
OCJP	8	9	10	2	–	29
All Others	11	18	15	7	2	53

% of Responses

	SA	A	DK	D	SD	T
All Respondents	27.1%	33.6%	28.0%	8.4%	2.8%	100%
NILECJ	40.0	36.0	20.0	–	4.0	100
OCJP	27.6	31.0	34.5	6.9	–	100
All Others	20.7	34.0	28.3	13.2	3.8	100

Question 17: "My boss is committed to APDP."

Number of Responses

	SA	A	DK	D	SD	T
All Respondents	32	39	24	8	3	106
NILECJ	12	9	4	1	–	26
OCJP	10	10	6	2	–	28
All Others	10	20	14	5	3	52

% of Responses

	SA	A	DK	D	SD	T
All Respondents	30.2%	36.8%	22.6%	7.5%	2.8%	100
NILECJ	46.2	34.6	15.4	3.8	–	100
OCJP	35.7	35.7	21.4	7.1	–	100
All Others	19.2	38.5	26.9	9.6	5.8	100

Question 18: "I have had enough training in APDP."

Number of Responses

	SA	A	DK	D	SD	T
All Respondents	18	31	11	36	12	108
NILECJ	6	12	4	3	2	27
OCJP	6	6	2	12	3	29
All Others	6	13	5	21	7	52

% of Responses

	SA	A	DK	D	SD	T
All Respondents	16.7%	28.7%	10.2%	33.3%	11.1%	100
NILECJ	22.2	44.4	14.8	11.1	7.4	100
OCJP	20.7	20.7	6.9	41.4	10.3	100
All Others	11.5	25.0	9.6	40.4	13.5	100

Question 19: "I understand how LEAA determines its priorities."

Number of Responses

	SA	A	DK	D	SD	T
All Respondents	10	32	19	34	13	108
NILECJ	4	10	4	4	5	27
OCJP	2	12	5	7	3	29
All Others	4	10	10	23	5	52

% of Responses

	SA	A	DK	D	SD	T
All Respondents	9.3%	29.6%	17.6%	31.5%	12.0%	100%
NILECJ	14.8	37.0	14.8	14.8	18.5	100
OCJP	6.9	41.4	17.2	24.1	10.3	100
All Others	7.7	19.2	19.2	44.2	9.6	100

Question 20: "There are ways by which I can influence the priority

   selection process."

Number of Responses

	SA	A	SK	D	SD	T
All Respondents	11	39	20	25	14	109
NILECJ	6	11	5	3	2	27
OCJP	2	13	6	4	5	30
All Others	3	15	9	18	7	52

% of Responses

	SA	A	SK	D	SD	T
All Respondents	10.1%	35.8%	18.3%	22.9%	12.8%	100%
NILECJ	22.2	40.7	18.5	11.1	7.4	100
OCJP	6.7	43.3	20.0	13.3	16.7	100
All Others	5.8	28.9	17.3	34.6	13.4	100

III. OPEN-ENDED QUESTIONS

In addition to the above, we included on the questionaire several open-ended questions. These questions are listed below, along with a representative sample of staff responses:

Question 21: "What are the ways in which you feel APDP is making the

   biggest difference in the way programs are now developed in

   LEAA?"

   - More use of research and evaluation

   - More systematic, rational or organized

   - More interaction, coordination

   - None

   - Force fit of existing programs

   - Takes more time

   - Makes process too rigid

Question 22: "What are the biggest problems with APDP and its implementation

   thus far?"

   - Lack of top management commitment, leadership, directiveness

   - Roles unclear

   - Coordination, interaction issues

   - Not understood or known

   - Turf issues

   - That all programs must be APDP'd

   - Form over substance

   - Time consuming, red tape, bureaucratic, slow

<u>Question 22a</u>: "What changes would you suggest to deal with these problems?"

- More directiveness

- Appoint and confirm an Administrator

- Training in APDP orientation

- Human relations training

- Introduce slowly/ try 6 programs, lower expectations

- Autonomy for NILECJ

- More flexibility/ less formal

- Define office roles

- Speed up

- Decentralize into task organizations

- Terminate APDP

- Terminate poor programs

- Recognize that knowledge generation takes time

- Grant managers memos should reflect APDP stages

- Stress APDP as a way of thinking

<u>Question 23</u>: "What is the best way to effect the linkage between offices?"

- Program Coordinating Teams

- Communication, Feedback meetings

- Top Management leadership mandate, commitment

- Reorganize/ restructure

- Put all in same building

- Clarify roles

- Teams, joint planning, task forces

- Allow the time

<u>Question 24</u>: "There are two views of goals of organizations; Actual (as indicated by the reward system, budget allocations, etc.) and Espoused (as indicated by public documents and statements.) Please indicate the Goals of LEAA:"

A. ACTUAL:

- Award the grants

- Improve the Criminal Justice System

- Assist in the improvement

- Assist state and local government in their efforts to prevent and control crime

B. ESPOUSED:

- Improve the criminal justice system

- Reduce crime

- Enhance Criminal Justice System

<u>Question 25</u>: "What should be the goals of LEAA in your view?"

- The answers were generally the same as espoused goals

APPENDIX C

LIST OF PERSONS INTERVIEWED

This project was designed to provide a high degree of interaction, throughout the life of the project, between members of the CISST project team and LEAA management and staff. This interaction included numerous interviews, meetings and telephone discussions. Two members of the research team interviewed 22 LEAA management and staff personnel in October and November, 1977, for initial discussions about APDP and its use at LEAA. Periodic meetings with LEAA personnel were held throughout the life of the project to review the plans, research findings and recommendations of the project. Additionally, numerous phone conversations were held to discuss the project, to keep LEAA personnel informed of the progress of the project, and to receive feedback and guidance from LEAA. Project team members participating in these discussions included: Dr. Michael Radnor, principal investigator; Robert Howard, project director; Dr. Durward Hofler; and Dr. William Hetzner.

The LEAA personnel listed below were involved in the various discussions noted above. Some were involved in several discussions with various members of the CISST project team. Other LEAA personnel occasionally sat in on meetings between LEAA and CISST personnel.

Bill Archey	Blair Ewing	Richard Rau
Smiley Ashton		
	Jim Gregg	George Schallenberger
Maryann Beck	Bob Grimes	John Sullivan
George Bollinger		Jim Swain
Harry Bratt	Jim Hagerty	Ralph Swisher
Bob Burkhardt	Bob Heck	
	Fred Heinzelmann	John Thomas
Ken Carpenter		Tommy Tubbs
Paul Cascarano	Emily Massey	
Pat Ciuffreda	Jean Moore	Dick Ubrach
	Josephine Motter	
George Datesman	Ralph Muros	
Robert Diegleman	Dennis Murphy	
Lynn Dixon		
Ralph Doughtery	Tony Pasciuto	
	John Pickett	