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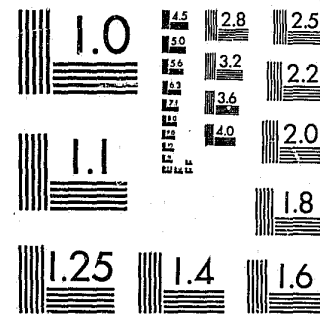
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FUNCTIONAL UNIT MANAGEMENT IN MISSOURI:
EVALUATION OF AN INNOVATIVE PRISON MANAGEMENT MODEL

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PREFACE

Many individuals contributed to the successful completion of this project. Any attempt to list each of them would be impossible, but several deserve special mention.

That the project took place at all is testimony to the supportiveness of the Division of Corrections, including former Division Director Donald Jenkins and former Director of Planning David Miller, and especially to the current Director, David Blackwell, who served as Superintendent of the Reformatory when the project was planned. Continuing support was received from George Lombardi, current Reformatory Superintendent, and virtually all Reformatory personnel. We have also been fortunate to be able to work with Larry Linke, Corrections Specialist of the Missouri Council on Criminal Justice, who has been consistently supportive.

Project staff also must be credited for their efforts. Research Assistant Jovonne Pasquale provided consistent and professional leadership in survey data collection and analysis. Graduate Research Assistant John Cosgrove was responsible for all aspects of the participant-observation, and provided a unique perspective for this evaluation. Both did excellent work, and both have moved on to the better positions they richly deserve.

Cynthia Windham brought experience and competence to the task of preparing data for processing. Marla Schorr was indispensable in organizing project offices and in providing secretarial

support before leaving for a graduate teaching assignment in the
English Department. Finally, Patti Fjone had the exceptionally
difficult task of moving into the confusion at the end of the
project, and provided the secretarial (and personal) support
necessary to complete the final report.

Each of us has learned a great deal about functional unit
management, the Division of Corrections, and evaluation this year.
Most importantly, perhaps, we have had the opportunity to work
with (and get to know) each other. This report must be assessed
on its own merits, and I accept full responsibility for any
inadequacy. The value of this evaluation may well be temporal,
but the friendships developed will surely endure.

Ronald J. Scott, Ph.D.
November, 1980
St. Louis, Missouri

EXECUTIVE SUMMARY

The Missouri Intermediate Reformatory (MIR) was reorgan-
ized in 1975 on the "functional unit management" model popularized
by the Federal Bureau of Prisons. Functional unit management is
a decentralized model that divides the institution into several
autonomous "units." Primary objectives are to improve staff-
resident communication, increase involvement of both groups in
decision-making, and improve the institutional climate.

The Division of Corrections, interested in implementing
this model in other Missouri institutions, requested the assistance
of the University of Missouri-St. Louis in evaluating this program.
Funding was obtained from the Missouri Council on Criminal Justice
for this evaluation in November, 1979.

The primary purpose of the evaluation was to assess the
effectiveness of the program and to identify factors associated
with effective unit management. Since no appropriate comparison
institution existed and no pre-program data were available tradi-
tional evaluation models could not be used. There was evidence
of variations among units, however, so a cross-sectional model, in
which units were compared on relevant measures, was used. Both
observational and survey data were collected, and official records
were reviewed.

Detailed observations over several months permitted a
thorough program description. Interunit variations were noted in
the degree of involvement and communication among staff and resi-

dents (Units 3 and 4 were better), and in the operation of resident councils (Units 3 and 4 councils were more operational, with all residents participating rather than only elected representatives). In addition, Unit 3 introduced new residents into medium custody, rather than on close custody as did the other units. Quantitative observational measures of informal interaction, and staff and resident involvement in team classification meetings, confirmed the better operation of Units 3 and 4.

Survey data included assessment of institutional climate by the Correctional Institution Environment Scale (CIES); self concept by the Tennessee Self Concept Scale (TSCS); perception of personal control by the Rotter Internal-External Scale (I-E); and attitudes toward the Reformatory by the Resident Attitude Questionnaire (RAQ) and Staff Attitude Questionnaire (SAQ), developed for this study. Results on CIES and RAQ supported positive findings for Units 3 and 4. Overall, staff viewed the institution more positively than did residents, although both groups were near national averages on the CIES. As expected, residents were more externally oriented than staff. Both groups exhibited very low self concepts.

Official (computerized) records of both the Division of Corrections and the Probation and Parole Division were reviewed for relevant pre-commitment, institutional and post-release measures. While these could not provide reliable data for this evaluation, outlines for on-going Division evaluations were offered.

Results were interpreted in terms of group theory, suggesting that the most effective units were those that best facilitated

development of positive group norms and values. Specific recommendations for such procedures, for staff training in group techniques, and for resident motivation were offered. In addition, a systematic program of regular evaluation was recommended for all Missouri institutions.

CHAPTER 1

INTRODUCTION

The Missouri Intermediate Reformatory,[1] constructed in
1932, is located on a site eight miles east of Jefferson City,
Missouri, overlooking the Missouri River. The institution was
modeled after several eastern correctional institutions, refor-
matories and schools in a "cottage type industrial school" de-
sign. Since the first residents were assigned to the Reformatory
in 1932, the institution has served the State of Missouri in vary-
ing capacities, with the primary function during the last two
decades being that it is the one institution in the Division of
Corrections that houses young (17-25) first time incarcerated
male adult felons (Missouri Division of Corrections, 1978a, b).

For more than 40 years the Reformatory maintained an em-
phasis on custody and security, reflected in an autocratic man-
agement style. Commonly, up to 90% of all residents were escort-
ed to and from their living quarters and work or school assign-
ments, visits, etc; there were no grievance procedures, resident
councils, or other methods of allowing residents input into the
terms of their incarceration; and resident disciplinary problems
were dealt with in a traditional arbitrary manner with a narrow
range of sanctions primarily including segregation, physical

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[1] Also known as "Algoa."

retribution or transfers to other institutions (Missouri Division of Corrections, 1978b).

The resultant institutional climate at the Reformatory was described (M.D.C., 1978b) as "sullenness, hostility, and sabotage." The culmination was a "comparatively serious" disturbance in February, 1975, that resulted in considerable physical damage to the Reformatory, a good deal of physical retribution towards residents (apparently regardless of whether they were involved in the disturbance), and a clear message to Division of Corrections' management on the seriousness of the institution's problems.

The MIR Plan

During the early months of 1976, administrative personnel from the Reformatory and the Division of Corrections worked together to develop a method of more effective management at the Reformatory; the result was adoption of a decentralized management model known as "functional unit management."[2] Unit management was adopted because it represented a systematic approach to improving institutional communication and involving inmates and line staff in decision making, to improving the delivery of needed services to residents, and to reducing tension in the Reformatory. As the management system that offered the greatest opportunities for staff and inmates to have input into the day

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[2] Based on a model developed in the Federal Bureau of Prisons (see Chapter 2, "Perspectives from the Literature").

to day functioning of the institution, functional unit management could be expected to increase "staff and inmate ownership and positive identity with the goals of the institution" (M.D.C., 1978 b).

The system developed divided the institution's eight regular residential housing units (see Figure 1, p. 4) into four "functional units," each staffed with a unit manager, caseworker, classification assistant, and a group of correctional officers (guards). The units were structured to be self-contained and autonomous, with separate unit offices located in each living quarter. Through this arrangement, staff were more directly available to residents.

Team Classification

A forerunner of functional unit management at MIR was the "team classification" system. Adopted throughout the Division of Corrections in 1973, the team approach was designed to combine the perspectives of the residents and staff in decision-making about the resident (Taylor and Hepburn, 1977). As applied to the Reformatory, emphasis was placed on the planning and implementation of behavior to be reinforced and internalized through treatment programs based on "reality therapy" (Wicks, 1974). "Behavioral contracts" (personalized plans) for each resident were central elements of the team approach. The plans were to be reviewed by members of the "team," with the team represented by those persons who were most closely and directly involved with the resident (M.D.C., 1978 b; M.D.C., n.d.).

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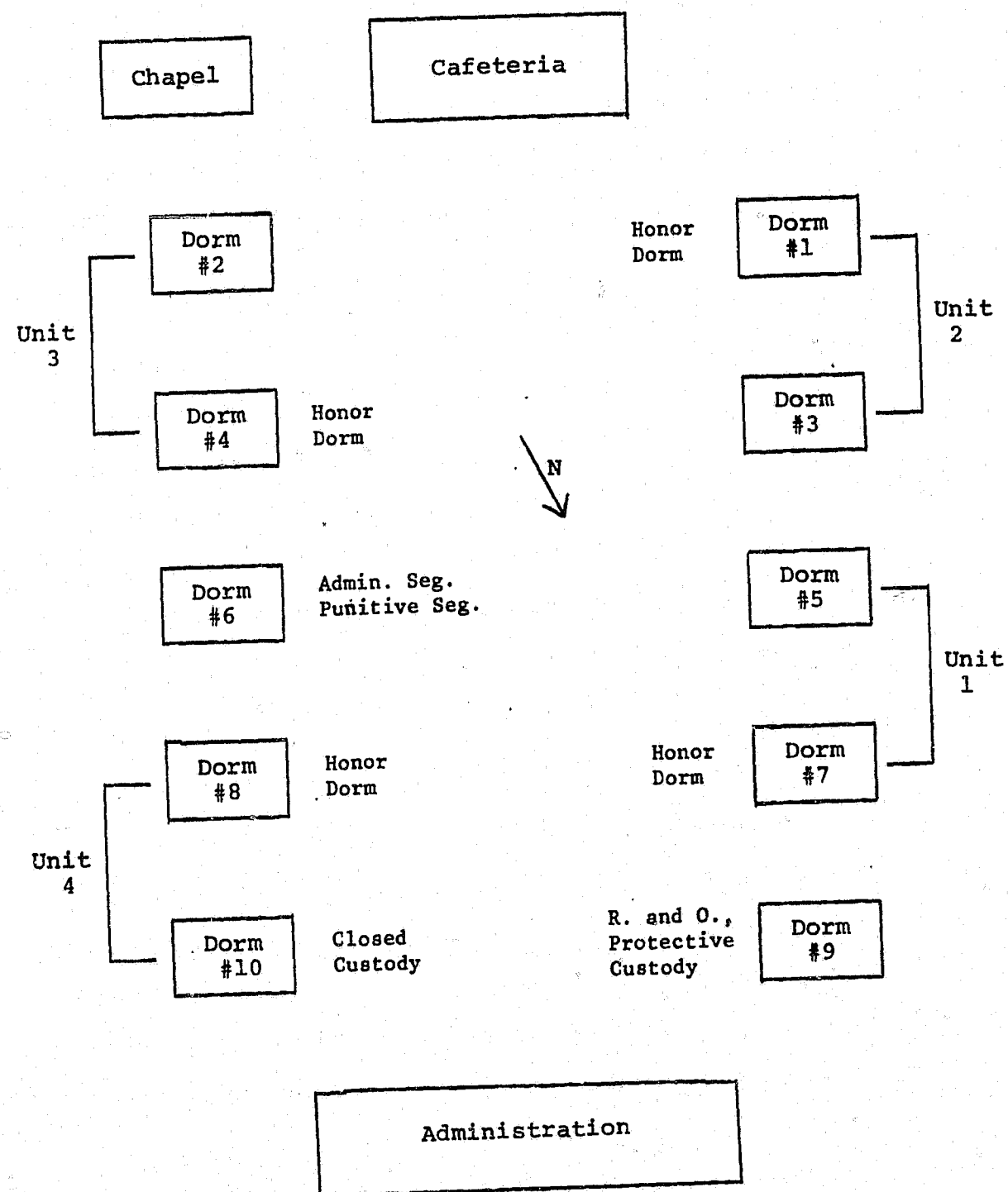
Figure 1.1. Missouri Intermediate Reformatory
              Unit Structure

The functional unit management program at MIR was a natural outgrowth of this already accepted "team" concept. Each functional unit maintained classification teams for decision-making purposes. Team meetings served the purpose of processing all decisions regarding residents' classification, discipline, movement within the institution and recommendations for parole (M.D.C., n.d.). Dependent upon the particular resident's custody status, his contract was reviewed on a 30, 60, or 90 day basis by the unit team, or more frequently if the resident received violations or wished to process a grievance. The unit team attempted to make frequent resident contacts regarding resident behavioral contracts, and met on the average of two or three times per week to conduct its business.

A behavioral incentive reward system was established at the Reformatory through the designation of three "custody levels" within unit dorms. Level achievement reflected a resident's custody status within the institution, ranging from "close" custody to "minimum" custody. Correspondingly, privileges were minimal at the close custody dorm level and increased as the resident advanced to minimum custody. The reward incentive was structured so that advancement and demotion among levels was contingent upon meeting or not meeting behavioral contract goals, with the process monitored by unit staff. "Honor" dorms were established, representing minimum custody status for residents at MIR. Advancement to honor dorm custody implied prestige among residents and offered more freedom of movement throughout

the institution.[3]

The Correctional Evaluation Project

The Division of Corrections' interest in expanding the use of the functional unit management model to other existing and proposed correctional facilities made acquisition of evaluative information regarding the Reformatory program important. In 1979, Dr. Ronald J. Scott of the Administration of Justice Department, University of Missouri-St. Louis, met with Reformatory and Division of Corrections' personnel and, after joint planning, submitted a proposal to the Missouri Council on Criminal Justice to evaluate the functional unit management program. Proposed project objectives outlined in the proposal[4] sought to:

(1) Place a qualified staff member as a participant-observer at the Missouri Intermediate Reformatory for an average of 10 hours each week from November, 1979 through March, 1980 to analyze the operations and inter-unit differences of the functional unit management program.

(2) Survey by questionnaire all inmates (approximately 550) and all staff members (approximately 205) of the Missouri Intermediate Reformatory during February or March, 1980, to assess institutional climate, inmate self-concept levels, and staff and inmate attitudes about the institutional programs.

(3) Review the Division of Corrections' records and collect relevant pre-commitment and institutional data on a sample of at least 20% of the inmates surveyed.

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[3] A more detailed analysis of the operation of the functional unit management program at MIR may be found in Chapter 4 of this report.

[4] See Chapter 3, "Design and Methodology," for explanations of changes in specific objectives.

(4) Review the Probation and Parole Division records and collect post release adjustment data on a sample of at least 100 Missouri Intermediate Reformatory inmates released in 1978.

Funding was approved and the Correctional Evaluation Project began late in November, 1979.[5] Initial staffing included a part-time Project Director (25% time during the 1979-80 academic year; 50% time thereafter), a full-time Research Assistant, one Graduate Research Assistant to perform the participant-observation research, one half-time Secretary, and one undergraduate work study student.

The general project time schedule involved questionnaire development during December and January; data collection during February and March; data analysis from March through June; and preparation of the final report from June to August. Specific processes will be detailed during subsequent portions of this report; in general, however, project schedules were maintained throughout the study.

Overview of the Evaluation

The primary focus of this evaluation has been on the operation of the functional unit management program at the Missouri Intermediate Reformatory, focusing on inter-unit differences and

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[5] Tentative initiation was planned for November 1, 1979, but delays in Congressional action on appropriations and administrative delays within the University resulted in formal initiation on November 26, 1979, with the appointment of the Research Assistant. The project Secretary was retained from a previous training evaluation grant in 1978.

on institutional climate and measured attitudes. Since the central objective of the functional unit management program has been to improve the institutional climate and the delivery of services to inmates, the ideal evaluation of this program would probably have utilized a "control group design" (Campbell and Stanley, 1966), in which equivalent groups achieved by randomization would be created, with each group being given pre- and posttests, with only the "experimental" group involved in the decentralized management program. This design, of course, was impossible since the functional unit management program has been in effect since 1976, and since all Reformatory residents are assigned to units. The likelihood of inter-unit differences, however, does permit comparison between units as a vehicle to evaluate programmatic variations.

A coupling of evaluative procedures was used in response to these realities. Based on a notion that the integration of fieldwork and survey methods had advantages over either method as a single approach (Sieber, 1973), this methodology included the use of direct participant-observation of actual unit and institutional processes and a survey of staff and resident attitudes, perceptions, and self-concept levels. The contribution of field observations represented a "confirmatory role," whereby survey results could be validated or invalidated by recourse to observations and informant interviews (Webb, et. al., 1966). A detailed discussion of these procedures can be found in Chapter 3 of this report.

CHAPTER 2
PERSPECTIVES FROM THE LITERATURE

Introduction

Although the concept of functional unit management is relatively new in corrections, ideas for better prison administration through increased inmate responsibility have long been espoused by men like Alexander Maconochie, Sir Walter Crofton, Thomas Mott Osborne, and others.

Maconochie was a British naval officer assigned to the penal colony at Norfolk Island in Australia in 1840. Inmates at the colony were "twice condemned" criminals who were transported from England for punishment. After assignment to Norfolk Island, one of the worst penal colonies of its time, Maconochie implemented a reform program based on a "mark system" reducing sentences through good behavior and industry (Barnes and Teeter, 1959, p. 418). Maconochie's "apparatus" (as he termed his plan) provided a prison social system which would grant some dignity and trust to inmates during incarceration; and he is today considered an astute penal administrator for his programs.

Sir Walter Crofton adapted Maconochie's program to the penal system in Ireland in the 1850's. Crofton's work soon attracted the attention of American prison administrators and

in 1863, Gaylord Hubbell, warden at Sing Sing prison in New York, recommended adoption of the "Irish System" throughout the state. At the time of Hubbell's suggestions, New York State had authorized construction of a prison at Elmira, and when Maconochie's concepts were implemented at the Elmira institution, the new program in the United States came to be known as the "Elmira System" (Barnes and Teeter, 1959, p. 426).

Furthering the notion of inmate responsibility in the United States, Thomas Mott Osborne proposed that "it was really possible to develop responsibility on an honorable scale among prison inmates." Osborne, a native of Auburn, New York, conducted an experiment at the Auburn prison by mingling with staff and inmates at the institution in the guise of a prisoner. After considerable observation at Auburn, Osborne conceived a plan called the "Mutual Welfare League." Under Osborne's system, rules of discipline of the institution were decided by a group of inmate delegates elected by the prisoners themselves. New prison regulations were instituted resulting in improved work and education opportunities, a system of token money, organization of a commissary, and outdoor recreation; and inmate privileges depended upon adherence to the regulations of the new system (Barnes and Teeter, 1959, pp. 499-500).

Thus, there is evidence that elements later found in functional unit management have been in existence for some time. Maconochie's and Osborne's systems of inmate management met with varying success depending on the motives of the insti-

tutional staff, but advocates of prison reform continue to suggest that increased inmate responsibility and self-government would result in a reduction of inmate alienation and anonymity, thus providing a more healthy institutional environment (Smith and Fenton, 1978). Functional unit management, culminating from a tradition of penal reform, may be able to meet these needs.

History. The primary organizational impetus for unit management has come from the Federal Bureau of Prisons. Many independent developments in the Bureau over the last 20 years have involved aspects of functional unit management, and a current Bureau objective is "to have all Federal institutions completely organized into functional units" (Bogan, Karacki and Lansing, 1975). A primary aspect of this development has been the growth of the concept of "classification teams." Before the existence of classification teams, the practice of overseeing an inmate's program and work assignments was achieved by having a single staff member serve as the classification officer for the institution's total inmate population.

During the mid and late 1950's, the Federal Reformatory at El Reno, Oklahoma, and the Federal Youth Center in Ashland, Kentucky, developed separate classification teams for each caseload. In October, 1961, the Demonstration Counseling Project was initiated at the National Training School for Boys (NTS) in Washington, D.C. "A caseload of inmates was gathered

together in one housing unit, and an interdisciplinary staff
was selected to implement a counseling and recreational pro-
gram" (Lansing, Bogan and Karacki, 1977). The assignment of
the interdisciplinary team to separate caseloads of inmates
represented the earliest, actual attempt at what is presently
termed "functional unit management." The model was considered
successful by NTS management and the entire institution was
subsequently reorganized according to this concept into "func-
tional units" managed through classification teams.

Following the steps of NTS, the Federal Youth Center
in Englewood, Colorado, established what they called a "unit
system" in 1963. Englewood's program featured "unit officers"
in addition to the traditional correctional officers supervis-
ing the inmate population. Each unit officer worked with a
caseworker who maintained an office in the inmate housing unit
where inmates on their caseload were assigned. Classification
teams were composed of one department head, the caseworker,
and the unit officer.

The Robert F. Kennedy Youth Center at Morgantown, West
Virginia, which opened in January, 1969, was designed and oper-
ated according to a slightly modified functional unit manage-
ment concept. Based upon a notion that unit management pre-
supposes a "sorting out" process which results in meaningful
assignment of residents to unit programs, the Kennedy Youth
Center program included a specific inmate classification sys-

tem known as the Quay typology,[1] with different management and
treatment strategies applied to the different groups of inmates.

In 1968, the first drug abuse programs were developed at
Federal correctional institutions at Danbury, Connecticut, Ter-
minal Island, California, and Alderson, West Virginia, as a
result of the Narcotic Addict Rehabilitation Act (NARA) of 1966.
NARA programs and Drug Abuse Programs (DAP) generally operated
as semiautonomous units within institutions with centralized
management, and their operational success further encouraged
the development of the unit management concept. "The NARA/DAP
staff pattern was considered the 'ideal' for a unit" (Lansing,
Bogan and Karacki, 1977). It included a unit manager, psycho-
logist, two case managers, four correctional counselors, and
one clerk for each 100 inmates.

More recently, the unit management system has been imple-
mented at the Federal Correctional Institutions at Fort Worth
and Seagoville, Texas, in 1972. The positive experiences of
these institutions further encouraged the Bureau of Prisons
to expand the concept of unit management, and as of mid-1977,
28 of 31 Federal institutions had implemented programs for
total institution management.

Unit Management

Definition and Goals. Unit management is an approach to

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[1] The Quay typology uses behavioral, self report and case record
data to classify youth into several behavioral categories.
See Differential Treatment . . . A Way to Begin (Bureau of
Prisons, 1970).

inmate and institutional management designed to improve control and relationships by dividing the larger institutional population into smaller, more manageable groups, thereby improving the delivery of correctional services. A unit itself consists of a "small, self-contained inmate living and staff office area, operating semiautonomously within the confines of the larger institution" (Lansing, Bogan and Karacki, 1977). The essential components of a unit are a small number of inmates (50-100) who are housed together with a multidisciplinary team of staff members. This multidisciplinary staff is headed by a unit manager who has administrative authority and supervisory responsibility for the entire unit staff.

The unit management approach is directly related to two major goals of the Bureau of Prisons: "(1) to establish a safe, humane environment which minimizes the detrimental effects of confinement," and "(2) to provide a variety of counseling, social, educational and vocational training opportunities and programs which are most likely to aid offenders in their successful return to the community" (Lansing, Bogan and Karacki, 1977).

Based on the assumption that managerial style and administrative behavior may influence the attainment of correctional goals (Studt, et. al., 1968), functional unit management is designed to improve control and the delivery of correctional services by altering traditional inmate-staff relationships. In the traditional prison, inmates and staff function under

conditions which are strained by the total dominance of the institution (Goffman, 1961). The goal of functional unit management is to improve these strained conditions.

Advantages of Functional Unit Management. The Bureau has outlined six advantages to the functional unit management program as most important (Bogan, Karacki and Lansing, 1975). These advantages focus on improving the atmosphere of the institution and thus lessening the inmates' commitment to institutional life, since an inmate who becomes totally committed to life in the institution tends to lack those social skills necessary for a successful return to society (Clemmer, 1958). The following are the advantages cited by the Bureau of Prisons:

1. It divides the large numbers of inmates into small, well defined and manageable groups, whose members develop a common identity and close association with each other and their unit staff.

2. It increases the frequency of contacts and the intensity of the relationship between staff and inmates, resulting in:

   (a) better communication and understanding between individuals;
   (b) more individualized classification and program planning;
   (c) more valuable program reviews and program adjustments;
   (d) better observation of inmates, enabling early detection of problems before they reach critical proportions;
   (e) development of common goals which encourage positive unit cohesiveness; and
   (f) generally, a more positive living and working environment for inmates and staff.

3. The multidisciplinary backgrounds of unit staff members and their varied areas of expertise enhance communication and cooperation with other institutional departments.

4. Staff involvement in the correctional process and management decision-making is increased.

5. Decisions are made by the unit staff who are closely associated with the inmates, which increases the quality and swiftness of decision-making.

6. Program flexibility is increased, since special areas of emphasis can be developed to meet the needs of the inmates in each unit, and programs in a unit may be changed without affecting the total institution.

Levinson and Gerard (1973) have discussed the advantages of functional unit management in terms of correction, care, and control. Functional unit programs can be altered, removed, or added with minimal disturbance. The semiautonomous nature of the functional units provides for greater program flexibility and it places the services closer to the users. This allows the decision-making in regards to planning, implementing, managing and evaluating programs to be guided by individuals more aware of the needs of the inmate population. Also, program fragmentation is reduced through decentralized case management which results in a greater liklihood for program assignment to meet the offenders needs. The result is improved correctional programming.

Staff development is encouraged under a functional unit management system which permits more efficient management of available resources as lower-level individuals develop manager-

ial skills. Since all staff members become a more integral part of the functional unit's treatment plan, a greater organizational cohesiveness develops between line and supervisory staff, and between staff and inmates, resulting in better care for correctional clients.

The functional unit concept involves maintaining residents in small, independent groups and substantially reduces the amount of movement within the facility, considerably improving effective control. Transfers between units are discouraged and physical control of residents is easier since there is a closer working relationship between those incarcerated and the institution staff. Often a type of "friendly rivalry" develops among functional units whereby both staff and inmates come to feel a sense of pride in their unit.

Disadvantages of Functional Unit Management. The concept of functional unit management results in a total reorganization of the correctional institution in a "flattening out" process of the traditional hierarchy through decentralization. The group experiencing the most impact from the functional unit approach is management, especially at the department head level. The decentralization process places those having the most immediate and direct contact with inmates in close proximity to top-level management, while others assume functions at a line or department head level.

This change is thereby reflected in a change in the roles

of the department heads, as their duties become that of monitoring policy implementation and maintaining performance standards. Many department heads find their new roles under functional unit management much less satisfying than their previous roles. Feelings of loss of authority or status may result in staff morale problems for some time at various levels of the organization (Levinson and Gerard, 1973).

Another difficult aspect in implementing the functional unit approach, cited by Levinson and Gerard (1973), is related to the transition stage--moving from a centralized to a decentralized structure. The transition stage, or "getting there," presents a number of problems not present in either a totally centralized or totally decentralized institution. During the time that managers are adjusting to their new roles, there tends to be a lack of communication between the various departments and the units, resulting in occasional faulty program coordination.

Definition and Description of a Unit. The unit constitutes the central item in a functional unit management program. As previously noted, "unit management was conceptualized as a means of more efficient program delivery to inmate populations, better utilizing staff resources" (Smith and Fenton, 1978, p. 40). The staff for a particular unit represents such various aspects of the institution as custody, treatment, and parole; and functions in a team manner with all members of the team

providing input into decisions which affect the inmates and the unit. The unit staff usually has administrative authority regarding institutional aspects of their unit.

The housing facilities of the unit are typically arranged to represent various security levels. The possibility of advancement to a more preferred living area can serve as an incentive and reward for the achievement of behavioral goals established by the unit staff, and privileges within the institution can be increased as the inmate moves to less secure custody levels.

Unit Staff Patterns. The staffing patterns of a unit vary according to the number of inmates in the unit. For a population of 75 to 100 inmates, the Bureau of Prisons recommends one unit manager, two caseworkers, four correctional counselors, three to five educational representatives, and three to five unit correctional officers. The following section will briefly describe the roles and duties of the unit staff members as proposed by the Bureau. These role descriptions are by no means exhaustive and are included to allow the reader a general view of how various key personnel interact in the functional unit system (Levinson and Gerard, 1973, pp. 11-14).

Unit Manager. The major function of the unit manager is to coordinate the development of an effective treatment approach in the unit. The unit manager is the supervisor of the unit and

is responsible for all matters pertaining to the unit, including the most efficient utilization of manpower for the unit (viewed in terms of the residents themselves). Thus, the unit manager arranges for staff members to be on duty when inmates are most available, such as evenings and weekends. In addition to these administrative duties, the unit manager must place a priority on assessing and monitoring treatment activities, moving to impose remedies if deficiencies arise. In an overall sense, therefore, the unit manager provides an important link between unit staff and top administration.

Caseworker. The caseworker typically assists the unit manager in the administrative duties of the unit, although his major function is management of the unit's caseload. In addition, the caseworker serves as an important source of information to the unit's residents, providing information required to move through a correctional institution, such as parole procedures, release dates, and general rules and regulations of the institution.

Correctional Counselor. The correctional counselor's primary responsibility is the counseling of assigned unit inmates; thus the correctional counselor is the direct implementer of the team's treatment modality. The counselor also typically serves as the liaison between the unit staff and extra-unit activities such as work and recreation. This per-

son may have the most contact and therefore the most prolonged and intensive relationship with the inmates.

Educational Representative. The educational representative provides information to the team regarding the availability and suitability of school programs. This person is responsible for monitoring the academic efforts of those inmates on his caseload and suggesting any programs which may benefit a particular inmate. The educational representative thus provides an important link between the education program and the unit.

Unit Correctional Officer. The prime role of the unit correctional officer is maintaining security, but this role must be fulfilled in a manner consistent with the established therapeutic nature of the team's treatment program. The unit officer can be a very important source of information to the unit team since he or she interacts with residents in a more informal setting, and thus can provide input regarding the tone and climate of the unit, as well as on individual inmate behavior.

Unit Meetings. The unit is managed primarily by means of two major meetings. The first meeting is the "unit staff meeting," which focuses on administrative concerns of the unit. This meeting provides an opportunity for all unit staff members to initiate and develop ideas, resolve problems, disseminate information and, hopefully, increase group solidarity. Insti-

tutional decisions which affect the unit are typically reached through a staff consensus.

The second meeting is called the "team meeting." As previously described, the team is composed of unit staff members and the inmate (if he or she wishes to take part). In a team meeting in the Bureau of Prisons, at least three areas of the unit are represented (i.e., caseworker, correctional counselor, etc.). Also, the inmate's parole representative can be a member of the team if the inmate so desires. The unit team meeting concentrates on decisions involving an inmate's institutional reviews, furloughs, and work assignment or violation investigations. Under optimal conditions, all members of the team are encouraged to provide input in the decision-making process.

The team thus represents a multidisciplinary approach which attempts to insure professional input from all areas of the institution which affect an inmate's institutional life. Hepburn (1978, pp. 63-73) suggests that an effective team classification process enables staff from various levels to work together while also permitting the inmate to represent his or her interest in the decision-making process. An effective team classification process is "(1) positively associated with staff attitudes toward inmates, work assignments, and other staff; and, with inmate attitudes toward staff and both living and program assignments;" and "(2) negatively associated

with staff punitiveness and role conflict and inmate alienation" (Hepburn, 1978, p. 63).

Evaluations of Functional Unit Management Programs

Most of the evaluations of functional unit management programs have been performed by the Federal Bureau of Prisons' researchers. Several studies have evaluated the impact of unit management on the institutional population. The following summary of evaluation research on functional unit management will be organized according to the particular research design employed.

Pretest-Posttest Design. Described by Campbell and Stanley (1966) as a still widely used design for evaluation research, the pretest-posttest design is often used when nothing better can be done. The one-group pretest-posttest design raises questions on internal validity (i.e., did the program itself make a difference, or were other concurrent factors at work?). No design except a pure experimental design can successfully control for such validity factors; nevertheless, the pretest-posttest has been used to evaluate several functional unit management programs since it seemed the most applicable design based on timing of the evaluation and stage of program implementation. Several such evaluations will be summarized below.

Federal Youth Center, Ashland, Kentucky. "Institutional

climate" has been identified as an important variable in corrections by numerous authors (Cressy, 1959; Goffman, 1961; Moos, 1968; and Vinter, et.al 1969) and was, therefore, chosen as a measure for study in an evaluation of the Federal Youth Center at Ashland. Institutional climate was assessed in this study by means of a questionnaire developed by Robert Vinter (Lansing, Bogan and Karacki, 1977, p. 47). The Vinter questionnaire was administered to staff and inmates on two separate occasions, prior to (1972) and after (1974) implementation of functional unit management. All questionnaires were kept anonymous in an effort to produce more candid responses. The overall results from the survey indicated an improvement in the institutional climate at the Ashland facility:

> Seventy percent of staff thought the Unit Management system increased staff interaction, 51.1 percent responded that they now knew more about residents in their unit, 39.5 percent said they had greater input into the development of programs, 44.8 percent thought staff were more cooperative before, and 44.7 percent said their attitude toward their job had improved. ((Bogan, Karacki and Lansing, 1975).

Staff members also indicated that shifts had occurred in program planning, with more emphasis being placed on treatment and training procedures in 1974 than in 1972. Finally, inmates more often rated their living conditions as "very good" or "good," and reported that they had more contact with counselors after functional unit management implementation.

Federal Correctional Institution, Milan, Michigan. The Vinter questionnaire and the Correctional Institutions Environ-

ment Scale (Moos, 1968) were administered to staff and inmates at the Milan facility both prior to (1973) and after (1974) implementation of functional unit management (Bogan, Karacki and Lansing, 1975). Once again, in an attempt to measure institutional climate as impacted by the unit management system, positive results were revealed.

The Vinter instrument suggested that staff felt a greater involvement in decision-making within the institution and an increase in measures assessing job-related involvement with the outside community. Staff also indicated that the tasks of maintaining order and providing role models for inmates had become more important since the implementation of functional unit management in 1973. Inmates also responded favorably on the Vinter questionnaire, indicating more frequent and positive contact with staff after functional unit management implementation, and considered staff to be "fairer, more concerned, friendlier, and less inclined to talk down residents" (Bogan, Karacki and Lansing, 1975). Inmates also ranked the counseling program and living conditions more positively in 1974 than in 1973.

The Correctional Institutions Environment Scale (CIES)[2] obtained positive results in the Milan study as well. The CIES profiles institutions along nine dimensions: three measuring type and intensity of personal relationships, three measuring

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[2] The CIES will be reviewed in greater detail in Chapter 3 of this report.

treatment orientation, and three measuring system maintenance
and living unit functions. Results showed that both staff
and residents were more positive in their overall assessment
of social climate in 1974 following the introduction of unit
management, with six of the nine dimensions showing substan-
tial improvement between 1973 and 1974 in both staff and in-
mate scores. Therefore, survey results from both the Vinter
questionnaire and the CIES supported the position that there
had been considerable positive increase in the social environ-
ment at Milan since the introduction of functional unit manage-
ment (Bogan, Karacki and Lansing, 1975).

Federal Correctional Institution, Seagoville, Texas.
The Correctional Institutions Environment Scale was administer-
ed at the Seagoville facility before and after the implementa-
tion of functional unit management between 1971 and 1973
(Karacki, Wash, Brown and Prather, 1974). Although the
CIES was administered to staff on both occasions, pre-post
comparisons were not legitimate due to structural staff changes
which had occurred between the two test periods. CIES scores
for residents obtained in 1971 were comparable with scores ob-
tained in 1973, however. Results revealed gains for all nine
dimensions, seven of which were statistically significant (sup-
port, expressiveness, autonomy, personal problem orientation,
order and organization, clarity, and staff control). These
results suggest that the functional unit system had a positive

impact on the social climate at Seagoville.

Federal Correctional Institution, Tallahassee, Florida.
Another approach to evaluation through a pretest-posttest design
was the documentation study piloted at Tallahassee. The method
employed in this study was to compare institutional incidents,
such as inmate violations, before functional unit management
(October, 1970 - July, 1974) and after unit management (December,
1974 - February, 1975), and to compare work adjustment and
dorm adjustment forms before and after implementation of func-
tional unit management. (Bogan, Karacki and Lansing, 1975).

Significant differences among incidents classified as
major were found. Specifically, reviews of institutional records
showed proportionate reductions after functional unit management
in instances of trouble on the job, possession of contraband,
verbal disrespect for officers, use of drugs or alcohol, physical
attack on officers, stealing, and attempts to smuggle contra-
band. There were increases, however, in the percentages of
escapes, physical attack on residents, and verbal attack on
residents.

Staff perceived significant changes in resident behavior,
based on dorm adjustment reports, including better relations
with staff, less aggressiveness, more emotional control, and
better response to supervision. However, work adjustment re-
ports revealed that foremen saw no changes in resident behavior.
Data collection based on official records can often be contam-

inated through lack of validity, lack of standardization, and faulty reporting procedures. Overall, however, these results seemed positive. A majority of staff agreed that **functional** unit management better met inmate needs, and most staff felt that staff interaction had improved as well.

Posttest Control Group Design

While the pretest is a concept deeply embedded in the thinking of most research workers, it is not an essential element for experimental designs to be valid. Within the limits of confidence stated by the tests of significance, randomization can assure validity without a pretest (Campbell and Stanley, 1966). Often, many problems exist for which pretests cannot be obtained or are inconvenient, and for such purposes a posttest control group design may be appropriate. An example of such an evaluation is summarized below.

National Training School for Boys, Washington, D.C. In 1964, an evaluation of the Demonstration Counseling Project, based on the principles of functional unit management, was conducted at the National Training School for Boys (NTS) in Washington, D.C. (Bogan, Karacki and Lansing, 1975). The initial objective was to investigate what effects an increase in staff numbers and an interdisciplinary program effort would have on the unit.

Seventy-five boys were randomly assigned to the Experi-

mental Group (DCP unit) and two control groups of 75 boys were randomly assigned to regular NTS units. These three groups were compared over a 21-month period on institutional adjustment (measured by the number of misconduct reports), time in segregation, results of academic training, and parole board releases. The boys were also compared according to inter-boy relations, based on an analysis of clique structures; intra-psychic changes, measured by the Edwards Personal Preference Schedule; and release follow-up data, based on recidivism as measured by reincarceration.

The Experimental boys were released significantly sooner by the parole board, received fewer misconduct reports, spent less time in segregation, and ranked first in inter-cottage competition. In addition, the Experimental group scored more positively on the Edwards Personal Preference Schedule, although the data representing community adjustment indicated no statistical significance between the groups in terms of recidivism.

The conclusions from the Demonstration Counseling Project suggested that decentralized management had a significant positive impact upon the boys' institutional adjustment and the climate and environment of the institution (Bogan, Karacki and Lansing, 1975). The results of the project led to the restructuring of the entire Training School along functional unit lines, with each unit containing its own interdisciplinary staff.

The Static Group Comparison

The static group comparison design compares one group experiencing a particular program to a similar group that is not, for the purpose of establishing the effect of the program. The major difficulty with this design involves "selection," or what Campbell and Stanley (1966) call the "differential recruitment of persons making up the groups." In other words, the groups might have differed anyway, without the occurrence of the program. Also, the static group comparison design presents problems with "mortality" due to the drop-out rate of persons from the groups. Even if the two groups had once been identical, they might differ later because of the selective drop-out of persons from one of the groups. These concerns of biased selection and "mortality" should be considered when using this design since research results could be invalidated. An example of such an evaluation is summarized below.

Kennedy Youth Center, Morgantown, West Virginia. In 1969, the Kennedy Youth Center opened as a correctional facility, utilizing a functional unit management system based on the Quay typology (see page 13 of this chapter). For evaluation purposes, Youth Center residents were compared to inmates at the Federal Youth Center, Englewood, Colorado, in a static group comparison design. Results from the study demonstrated that the test populations were very similar except that the Englewood facility utilized a traditional management system at the time of the

evaluation (Bogan, Karacki and Lansing, 1975).

Comparisons between the two groups were made according to an analysis of the amount and type of interaction with staff, living conditions, and quality of counseling programs. Research methodology included periodic observations of the program, interviews with staff and inmates, and the administration of the Vinter questionnaire.

Inmates at the Kennedy facility reported having "more frequent contacts with staff and more often perceived staff to be friendlier, accessible, committed, and able to help" (Bogan, Karacki and Lansing, 1975, p. 7). Also, 82 percent of the inmates rated their living conditions as "good" or "very good," compared to 31 percent at the Englewood facility. Seventy-two percent of the inmates at the Kennedy facility said the counseling program was "good" or "very good," while only 40 percent of the inmates at the Englewood facility indicated similar responses. The Vinter questionnaire results revealed that inmates at the Kennedy facility were more positive in their assessment of staff and program in general.

Conclusions from Evaluations

The Bureau of Prisons' evaluations appear to provide a great deal of evidence that functional unit management systems lead to an improved institutional climate. Methodologies in these studies have been fairly clear in terms of procedure despite the lack of more sophisticated statistical analysis.

General findings suggested that both staff and residents in these institutions had more positive attitudes about living and working under unit management systems.

In viewing the guidelines set out by the Federal Bureau of Prisons based on their evaluations, a successful functional unit management program would appear to be contingent upon a workable classification team to oversee inmates' programs and work assignments, a multidisciplinary staff working within semi-autonomous "functional units," and an effective treatment modality aiding offenders in a successful return to life outside confinement. The Bureau has suggested that it is through these conditions that a more healthy institutional environment is attained, stressing a need for cooperation among staff and inmates.

Very little documentation, however, outside the Bureau of Prisons exists regarding the functional unit management approach and its evaluation. This situation presents problems of generalizability of results, or what Campbell and Stanley (1966) refer to as "external validity." What this suggests for our research efforts is that findings from the Bureau's studies of Federal institutions need to be compared to MIR results to make generalization more appropriate. Such a comparison is one purpose of this evaluation.

Summary

The literature indicates that functional unit management

represents a method of improving service delivery and creating a more positive institutional environment. The major problem encountered with unit management has been during program implementation, when the move from a centralized to a decentralized institution may require managers and line staff to adjust to new roles, creating communication and program coordination problems.

Evaluation measures most frequently used have relied on survey and institutional records' data to measure social climate and institutional adjustment. Instruments like the Vinter questionnaire and the Correctional Institutions Environment Scale have been commonly employed by the Bureau of Prisons to assess institutional climate--utilizing either a pretest-posttest design or, in studies utilizing the posttest alone, by comparing results with other institutions or groups of inmates. Data from institutional records (work adjustment forms, inmate violations, etc.) have been used to measure institutional adjustment; but such results should be viewed with caution because such data may not be the best indicators of institutional adjustment and, secondly, may not be the result of adequate report standardization and format procedure.

Conclusions from the literature, then, would seem to indicate that once fully implemented, the functional unit program can provide the correctional administrator with a useful tool for effective management of an institution.

CHAPTER 3

EVALUATION METHODS

The original questions presented by the Division of Correc-
tions were whether their MIR functional unit management program
was effective, and how best to implement the model in other
Division institutions. The latter question, of course, presumes
the first, implying that program effectiveness was already assumed
by Division administrators.[1]

Actual demonstration of program effectiveness, however, was
not possible under the circumstances. Effectiveness, of course,
can be assessed only in terms of something else: either an
absolute standard or some comparable "control" program. Neither
type of comparison was possible in this evaluation. No absolute
standards exist for measures likely to be affected by institutional
management; and there was no correctional program that could
serve as a comparison.[2]

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[1] Our observations during the course of this project amply demon-
strated that this was the case, at least for MIR officials.

[2] Three such "comparisons" might be possible. The best arrange-
ment would be random assignment of inmates to either a "func-
tional unit management" or "regular" institutional program
(either at MIR or into a comparable institution serving similar
inmates); second would be comparison of the MIR program with a
similar institution (without random assignment of inmates);
third would be comparison of current MIR conditions, after pro-
gram implementation, with similar measures taken prior to pro-
gram implementation. None of the three approaches was possible
in this evaluation. There is no other institution in the state
that has comparable inmates, and MIR has been completely organ-(cont.)

There was little choice, therefore, but to focus on the
second question; that is, to see if we could identify factors
associated with more (or less) effective aspects of program
operation. This approach proved to be more feasible because
there appeared to be operational variations across the four units
at MIR. The actual evaluation design, therefore, was a cross-
sectional analysis of the operation and impact of the functional
unit management program (using the four units as the independent
variable).

What was possible within this design was a multi-faceted
approach to analysis that combined both "qualitative" and "quan-
titative" methods. Such evaluation models have been recommended
(McCall, 1975; Sieber, 1973; Bennett & Thaiss, 1970) as providing
the most valid information on operating programs. Accordingly,
data from systematic participant observation, a survey of staff
and inmates, and official records were used to assure the broad-
est possible focus. Specifically, data for the study were ob-
tained in four primary ways:

1. A review of the literature on functional unit manage-
   ment evaluation team classification, and Division of
   Corrections' literature;

2. Systematic participant observation of the operations
   and inter-unit differences of the functional unit
   management program;

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ized according to functional unit management for several years.
Furthermore, no pre-implementation data are available (and even
if such data were available, historical changes would make such
comparisons of limited value).

3. A questionnaire survey of a randomly selected sample of MIR residents and the majority of all staff members;

4. Analysis of data available from Division of Corrections and Division of Probation and Parole records.[3]

This chapter summarizes the data collection methods used, detailing instruments, sampling, and processing methods utilized.

The Literature Review

Prior to survey instrument development, and throughout the project term, relevant literature related to functional unit management and its concepts has been accumulated and reviewed. Particular emphasis has been placed on Federal Bureau of Prison materials which described and evaluated their unit management programs to provide background perspectives for this study. Particular areas of interest with respect to the literature were related to types of evaluation design used in previous studies and the use of standardized instruments measuring correctional institutions and their environments. This literature has been summarized in Chapter 2 of this report.

Participant-Observation

Observational methodology has received growing recognition in the field of evaluation research in recent years (McCall, 1975; Sieber, 1973). Observational methods allow evaluators to view behavior and events in their natural settings, permitting analysis

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[3] As will be noted subsequently in this chapter, it was not possible to integrate this objective into the rest of the evaluation; and these data were used for demonstration purposes only. See pp. 56 and 57 of this chapter and Appendix C.

of programs as they actually operate. Furthermore, systematic observation enables evaluators to obtain directly data on the activities of program participants, eliminating the need to rely on the accounts of the participants themselves. This becomes an important advantage in correctional settings (where staff and residents may develop a degree of institutional "adjustment" that leads them to view critical incidents as "normal occurrences" and therefore not worth reporting).

The observational methods utilized in this project provided evaluators with a unique opportunity to analyze actual interaction processes between staff and residents in the prison setting.[4] Data obtained through observation therefore permitted systematic description of actual program operations and differentiation of the operating units in terms of operational variations, and also provide potential validation for findings obtained from survey data and/or official records.

Participant-observation for this evaluation was divided into two phases. Phase I involved informal observation to obtain data for a description of program operations. These observations led to identification of specific processes most appropriate for subsequent formal (quantifiable) observation and measurement, and development of instruments to record these formal observations and measurements. Phase II involved formal observations to collect

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[4] All observations were done by John Cosgrove, a graduate research assistant in a sociology master's program designed to develop observational skills for criminal justice. Cosgrove was supported during the period of observations in part by funding from the National Institute of Mental Health, under grant number USPH 5 TE 31 MH15223.

data on relevant interaction and decision-making processes. Specific methods employed in each of these phases will be described in turn.

Phase I Observations. Phase I of the observations (conducted from September through December, 1979) was designed to gather information for a thorough description of activities and processes in the MIR functional unit management program. These data permit identification of programmatic variations among the four MIR units; and also make it possible to determine the extent to which actual program operations are at variance with proposed (or written) program objectives.

In order to completely recognize and describe the activities involved in the MIR functional unit management program it was necessary for a trained observer to be present at the Reformatory at least once a week. Observations were arranged so that each day of the week was sampled and activities for that particular day were recorded. On several occasions the observer spent the night at the Reformatory[5] in order to record data on night activities of the functional unit management program.

The specific methods of data collection employed during Phase I were direct observation and informal interviews. Data were recorded after the fact, in field note format. This procedure allowed unobtrusive observation of a continuous flow of activities, with data recorded later in the day. The field note format employ-

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[5] The observer spent the night at the Reformatory in a room provided for his use above one of the inmate housing units.

ed detailed what had occurred and which individuals were involved in that particular observational period.

During the initial weeks of Phase I observation various program activities were recognized as important, and for the subsequent weeks of Phase I additional emphasis was placed on these activities. The activities considered important were related either to the operation of a unit (i.e., unit team classification meetings, unit staff meetings, informal interactions between unit staff and residents, and resident council meetings) or to the administration of the institution (i.e., informal unit managers' meetings, overall formal unit managers' meetings, executive staff meetings, and the section heads' meetings).

Development of observational instruments. Phase I observations and review of program goals and objectives led to identification of two primary activities considered to be key indicators of functional unit management program implementation: informal interaction between unit staff and residents, and the amount of staff and resident participation in the team classification meetings. To the extent that increased informal staff-resident interaction and increased staff-resident involvement in decision-making about residents are important objectives for functional unit management, variations in these activities between units should indicate differing degrees of program implementation.

Observational instruments for both informal interaction and team meeting participation were developed utilizing the "sign-code standardized observation technique" (Weick, 1968: 357-451). In the sign-code technique the observer watches for pre-determined

specific acts or behaviors, recording whether each act listed in the code occurs.

1. _Informal Interaction_ was assessed in terms of level of intensity and amount of interaction. Three levels of intensity were defined on the basis of Phase I observations: Level I, representing basic institutional interaction between staff and residents (such as a resident requesting supplies or a telephone call); Level II, representing institutional problem-solving (such as a discussion of a resident's work or school assignment); and Level III, representing extra-institutional problem-solving (such as a resident and staff member discussing a resident's home situation). Thus, intensity of interaction was conceptualized along a personal problem-solving dimension, with Level I identifying the lower end of the continuum. A Guttman-scale scoring procedure was employed to determine the intensity of the interaction. Thus, if during an interaction only Level I interactions occurred, the incident was given an intensity score of I; but if both Level I and Level III interactions took place, a score of III was given. This procedure assured recognition of the full degree of interaction present in each unit.

The amount of informal interaction was measured by the length of time taken for a specific interaction. An instance of informal interaction began when either a unit staff member or a resident initiated a discussion. It was considered terminated when one party ended the discussion. Use of length of time as a criterion permitted assessing both total and average amounts of time involved in observed informal interaction instances. The informal inter-

action instrument (Appendix A) was pretested in all four units on a total of 40 interaction incidents. This pretesting led to restrictions in time and place of final sampling, and to or decision to limit scoring to the most intense level of interaction taking place.

2. _Participation in team classification meetings_ was analyzed in terms of the decision-making processes employed. Specific focus was on 1) which team members participated most frequently, as measured by the number of statements made by a particular team member; 2) which team member made the statement that produced the greatest influence on the team's final decision, measured by who suggested the solution that resulted in the final outcome; 3) how the act of making statements that exerted most influence on the classification team's final decision was distributed among team members; and 4) the degree to which residents participated in the team's decision, measured by the number of statements made by the resident during the meeting.

Statements by an individual present at a team meeting were considered in terms of whether they were made before or after a final decision was reached. Statements were further organized into 20 categories, as presented in Table 3.1 on page 42. The final instrument (Appendix A) was pretested in all four units on a total of 27 team classification "cases".[6]

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[6] The interaction process scales of Lewis, et. al. (1961) were helpful in developing this instrument.

TABLE 3.1

CATEGORIZATION OF STATEMENTS MADE BY PARTICIPANTS
DURING TEAM CLASSIFICATION MEETINGS.*

I. Pre-decisional Statements

A. Explanation of present case

1. Explains the case -- this refers to a presentation of the violation or review report.

2. Gives analysis of present case -- this refers to an attempt by a team member to give his interpretation of the case of the issues contained within the case, or answer questions pertaining to the case.

3. Asks about the inmate's job/school -- this refers to any statement made by a team member with the purpose of illiciting information regarding the inmate's job or school assignment.

4. Asks about the inmate's home situation -- this refers to any statement made by a team member with the purpose of illiciting information regarding the inmate's general home situation or a specific problem in the inmate's house.

5. Asks for an expression of opinions -- this refers to a statement which is intended to illicit views, opinions, or judgements from other team members.

B. Inmate History

1. Asks for information from the inmate's record -- this refers to any statement made by a team member in an attempt to gain information from the inmate's record.

2. Gives information from the inmate's record -- this refers to a statement which provides information from the inmate's record to other team members.

C. Solution Statements

1. Suggest a solution -- this refers to a statement which is intended to structure action or indicate alternatives to the team members.

2. Gives support of his suggestion -- this refers to a statement made by a team member in an attempt to further convince other team members to follow his suggestion.

3. Suggest an alternative to someone else's solution -- this refers to a statement which is intended to offer alternative avenues of action.

4. Supports someone else's solution -- this refers to any statement by a team member which offers support to a suggested alternative of another team member.

D. Evaluation Statements

1. Makes positive statements about inmate/staff member -- this refers to any statement made by a team member which implies positive evaluation of a staff member or inmate.

2. Makes negative statements about inmate/staff member -- this refers to any statement made by a team member which implies negative evaluation of a staff member or inmate.

E. Direction Statements

1. Gives direction -- this refers to a statement by a staff member which attempts to illicit compliance from other team members regarding procedural activities in the team meeting.

II. Post-decisional Statements

A. Most Influential Statement

1. Gave suggestion which resulted in final outcome -- this refers to the statement which exerted the greatest influence on the team's final decision.

B. Additional Outcome Statements

1. Verbally agreed with the final outcome -- this refers to any statement by a team member which indicates a positive evaluation of the team's final decision.

2. Gave a lecture to the inmate -- this refers to any statement by a staff member which attempts to influence the attitude or behavior of the inmate.

3. Gave a rationale for the final outcome -- this refers to any statement made by a team member which attempts to explain why a certain decision was reached.

4. Inmate signed the report -- this refers to the act of the inmate acknowledging the outcome of the case by signing the report.

5. Disagreed with the final outcome -- this refers to any statement by a team member which indicates a negative evaluation of the team's final outcome.

*
Adapted from Cosgrove, 1980, pp. 60-61

Phase II Observational Procedures. Phase II observations were conducted during February and March, 1980. Fifty instances of informal interaction were observed in each unit. Interactions were selected during the 4:00 - 6:00 p.m. or 6:00 - 8:00 p.m. time periods, when both unit staff and residents were most commonly present in the dormatories. All observations were done in unit staff offices located in dormatory buildings. The initial period of data collection focused on Units 1 and 4 because Units 2 and 3 had recently received new staff members, and it was necessary to allow time for the staff of these units to develop working relationships.

A sample of 50 team classification cases was also collected from each unit, including in each unit 25 violation and 25 review cases. Again, initial attention was directed to Units 1 and 4 because of new staff on the other two units. The specific procedure employed was to observe the team classification meeting and record data on each case disposed of by the team. Each statement made by a participant in the team meeting was recorded in terms of a specific category and who the speaker was.

Processing Observational Data. Phase I observations were analyzed to provide a complete description of the MIR program. This description can be found in Chapter 4 of this report. Phase II observations were analyzed by both qualitative and quantitative statistical methods. These results will also be reported in Chapter 4 of this report.

Survey of Staff and Residents

The survey of staff and residents at the Reformatory was designed to assess institutional climate, staff and resident attitudes about the institution and its programs, and staff and resident perceptions of self-concept and personal control. At the same time, relevant demographic data was obtained for descriptive analysis. Instrument selection and development for this survey will be summarized below.

Institutional Climate. Substantial research has indicated the importance of the interaction of a person and his setting as a determinant of behavior (Endler and Hunt, 1968). An assessment of the correctional setting should yield information indicative of how the participants would behave within their environment; therefore, such feedback should prove to be a useful tool for the correctional administrator.

The Correctional Institutions Environment Scale (CIES)[7] was chosen to assess institutional climate based on staff and inmate perceptions at the Reformatory. The CIES (Moos, 1968, 1974, 1975; Wenk and Moos, 1972a, b), is a standardized instrument consisting of 90 items on various aspects of the institution to which the respondent answers "true" or "false". Organized into nine subscales, the CIES provides an assessment of the "psychosocial environment" of the institution. Specifically,

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[7] Published by Consulting Psychologist Press, Inc., 577 College Avenue, Palo Alto, CA 94306. A copy for informational purposes can be found in Appendix A.

there are three "Relationship" dimensions, assessing "Involvement", "Support", and "Expressiveness"; three "Treatment Program" dimensions, assessing "Autonomy", "Practical Orientation", and "Personal Problem Orientation"; and three "System Maintenance" dimensions, assessing "Order and Organization", "Clarity", and "Staff Control". Table 3.2 summarizes descriptions of these subscales. These nine CIES dimensions can provide an indication of institutional social climate by generating profiles of various living units, or of the institution as a whole, based on independent staff and inmate perceptions.

As summarized in Chapter 2, the CIES has been widely used in correctional program evaluations (Moos, 1974, 1975; Lansing, Bogan and Karacki, 1977; Bogan Karacki and Lansing, 1977). Furthermore, it has relatively satisfactory psychometric properties (Buros, 1978, pp. 759-760; Moos, 1974, p. 7). Normative data are available for adult and juvenile male and female programs, with both resident and staff scores standardized for comparative plotting.

There is relatively little evidence of test validity for the CIES, except as can be inferred from the effective use of the CIES as a dependent measure in assessing the impact of program differences on institutional climate (Moos, 1974, 1975; Lansing, Bogan and Karacki, 1977). Nevertheless, the history of the use of CIES in correctional program evaluation, together with its favorable psychometric qualities, makes it a most appropriate measure of institutional climate for this study.

Attitudes about the Institution. The Resident Attitude Question-
naire (RAQ) and Staff Attitude Questionnaire (SAQ) were developed
simultaneously, differing only in the wording of questions for
residents and staff, and with varying demographic questions for
residents and staff. The questionnaires were designed to elicit
staff and resident attitudes towards specific aspects of the MIR
functional unit management program, such as their satisfaction
with unit conditions, relationships among staff and inmates, the
overall institution, treatment programs, and unit processes.

The RAQ and SAQ consist of 21 statements to which subjects
give one of five responses ranging from "very satisfied" to "very
dissatisfied". These statements are organized into five sub-
scales, assessing satisfaction with the institution as a whole
(questions 1-5), unit processes (questions 6-10), the staff
(questions 11-17), treatment programs (questions 18-19), and unit
conditions (questions 20-21). Demographic questions provide
descriptive data, such as unit assignment, staff position, age,
race, sex, and education.

Psychometric qualities of RAQ and SAQ appear very favor-
able. Item analysis and scale reliability data are summarized
in Appendix B. Item-subscale correlations ranged from $r=.543$ to
$r=.864$ (median = .707) for RAQ, and from $r=.465$ to $r=.895$ (median =
.769) for SAQ. Item-total scale correlations were only slightly
lower, ranging from $r=.409$ to $r=.748$ (median = .595) for RAQ and
from $r=.312$ to $r=.795$ (median = .634) for SAQ.

Internal subscale and scale reliabilities were very satis-

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TABLE 3.2

CORRECTIONAL INSTITUTIONS ENVIRONMENT SCALE (CIES)[*]

Subscale Descriptions

Involvement	-Measures how active and energetic residents are in the day-to-day functioning of the program (i.e., interacting socially with other residents, doing things on their own initiative, and developing pride and group spirit in the program).
Support	-Measures the extent to which residents are encouraged to be helpful and supportive toward other residents, and how supportive the staff is toward residents.
Expressiveness	-Measures the extent to which the program encourages the open expression of feelings (including angry feelings) by residents and staff.
Autonomy	-Assesses the extent to which residents are encouraged to take initiative in planning activities and take leadership in the unit.
Practical Orientation	-Assesses the extent to which the resident's environment orients him toward preparing himself for release from the program: training for new kinds of jobs, looking to the future, and setting and working toward goals are among the factors considered.
Personal Problem Orientation	-Measures the extent to which residents are encouraged to be concerned with their personal problems and feelings and to seek to understand them.
Order and Organization	-Measures how important order and organization are in the program, in terms of residents (how they look), staff (what they do to encourage order), and the facility itself (how well it is kept).
Clarity	-Measures the extent to which the resident knows what to expect in the day-to-day routine of his program and how explicit the program rules and procedures are.
Staff Control	-Assesses the extent to which the staff use regulations to keep residents under necessary controls (i.e., in the formation of rules, the scheduling of activities, and in the relationships between residents and staff).

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* From Moos, 1975, 41.

factory, as assessed by Cronbach's Alpha,[8] with subscale alphas ranging from α =.580 to α =.790 for RAQ, and from α =.427 to α =.834 for SAQ. Full scale alphas were very high -- .903 for RAQ and .906 for SAQ. These results indicate that subscales were assessing fairly distinct areas; and that the total scale was measuring a relatively singular attitudinal construct.

Self Concept. The Tennessee Self Concept Scale (TSCS)[9] was selected to assess self concept level because of the interest of institutional staff in the impact of institutional programming on self concept.[10] The TSCS attempts to identify the "role which the self concept plays in human behavior" (Fitts and Hamner, 1969). As with the CIES, the TSCS has been used in prison evaluations as a measure of the "delinquent self concept" (Fitts and Hamner, 1969; Lefeber, 1965; Lively, et. al. 1962).

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[8] Alpha is an estimate of a scale's ability to correlate with an equivalent scale of the same length, and is dependent upon the homogeneity and length of the scale. Alpha is computed from the formula $\alpha = \left(1 - \frac{S_i^2}{S_t^2}\right)\left(\frac{K}{K-1}\right)$ where ΣS_i^2 = the sum of individual scale item variances, S_t^2 = the total scale variance, and K = the number of items. Alphas above .60 indicate satisfactory scale reliability (Cronbach, 1951).

[9] Published by Counselor Recordings and Tests, Box 6184 Acklen Station, Nashville, Tennessee 37212. A copy for informational purposes can be found in Appendix A.

[10] It is, in fact, unlikely that any brief institutional program can materially affect one's self concept in the face of life-long socialization and the potentially devastating impact of conviction and imprisonment. It may be, nevertheless, that one's self-image may be a factor in one's reaction to specific types of programming. Thus, scores on the TSCS may "predict" scores on other measures, such as the CIES, RAQ, and SAQ.

The TSCS consists of 100 self-descriptive statements to which the subject gives one of five responses ranging from "completely true" to "completely false". Ten items (from the L Scale of the Minnesota Multiphasic Personality Inventory) constitute a Self-Criticism Score; the other 90 items contribute to the self concept scores. The 90-item pool is used to compute how positive the respondent feels in terms of his "Self-Identity", "Self-Satisfaction", and "Behavior"; as well as how positive he feels about his "Physical Self", "Moral-Ethical Self", "Personal Self", "Family Self", and "Social Self". Table 3.3 on page 49 summarizes these subscales. A large number of additional clinical subscales can also be derived from the TSCS, but are not being utilized in this evaluation.

Relatively little reliability/validity data have been reported for the TSCS (Robinson and Shaver, 1973), despite its rather extensive use. The extensive use has, however, resulted in considerable data on a variety of populations. Such data can provide useful comparisons for specific subjects (or "norms"), and comparative data are available for delinquent populations (Fitts, 1965; Fitts and Hamner, 1969). However, these "delinquent" norms will have very limited usefulness for the current study.

Perceptions of Personal Control. The Internal-External Control Scale (I-E) is an unpublished but widely used questionnaire which assesses how individuals view their relationship to their environment. Specifically, the I-E scale assesses the "degree to which an individual perceives that reward follows from, or is contingent

TABLE 3.3

DESCRIPTION OF TENNESSEE SELF CONCEPT SCALE SUBSCALE*

Self-Criticism	-Ten mildly derogatory statements that most people admit as being true for them. Individuals who deny most of these statements most often are being defensive and making an effort to present a favorable picture of themselves. High scores indicate normal, healthy openness and capacity for self-criticism; extremely high scores indicate lack of defenses and possible pathology. Low scores indicate defensiveness and suggest that positive scores may be artificially elevated.
Total Positive Score	-Reflects overall level of self-esteem. Persons with high scores tend to like themselves, feel they have value and worth, have self-confidence, and act accordingly. Persons with low scores are doubtful about their own worth, see themselves as undesirable, often feel anxious, depressed, and unhappy; and have little self-confidence.
Identity	-The "what I am" items. Here the person is describing his basic identity - what he is as he sees himself.
Self-Satisfaction	-How the individual feels about the self he perceives; in general, the level of self-acceptance. (An individual may have very positive identity and still be low on self-satisfaction because of very high standards and expectation for himself).
Behavior	-The "This is what I do" or "This is how I act" items. Measures the individual's perception of his own behavior or the way he functions.
Physical Self	-His view of his body, his state of health, his physical appearance, skills and sex vality.
Moral-Ethical Self	-Describes self in terms of moral worth, relationship to God, feelings of being a "good" or "bad" person, and satisfaction with one's religion or lack of it.
Personal Self	-Reflects sense of personal worth, feelings of adequacy as a person, and one's evaluation of his personality apart from his body or his relationship to others
Family Self	-Reflects one's feelings of adequacy, worth and value as a family member. Refers to one's perception of self in reference to his closest and most immediate circle of associates.
Social Self	-Reflects "self as perceived in relation to others" with more general sense of "others"; i.e., his sense of adequacy and worth in his social relations with other people in general.

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* Adapted from Fitts, W. H., Tennessee Self Concept Scale Manual, Nashville, TN: Counselor Recordings and Tests, 1965.

upon, his own behavior or attributes versus the degree to which he feels the reward is controlled by forces outside of himself . . ." (Rotter, 1966). There are 29 test items in the I-E scale (including six "filler" items), each with a pair of "internal" and "external" alternative responses. Respondents select the one statement of each pair which they more strongly believe to be true. One point is given for each external statement selected, so scores can range from zero (most internal) to 23 (most external).

The I-E has exhibited satisfactory reliability, although there is limited data from populations similar to the current study. Factor analyses have suggested that two factors may be present, assessing "personal control" and "control attribution" (Robinson and Shaver, 1973).

The I-E was used in this study because it assesses the extent to which an individual perceives that he has control over his environment, which is precisely what the functional unit management program is attempting to address. By increasing staff and resident involvement in decision-making, the functional unit program might be expected to enhance perceptions of self-control (or, more likely, reduce perceptions of external control that would follow from traditional prison experiences).[11] A copy of the I-E scale, for informational purposes, can be found in Appendix A.

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[11] Again, it is unlikely that any relatively brief institutional program experience can materially affect individual beliefs in "fate" or "personal control" which have developed during a lifetime of socialization. What is more likely is that one's perceptions of personal control will affect how one responds to the increased involvement of functional unit management (that is, how satisfied one is with the program, etc.).

<u>Selection</u> <u>of</u> <u>Survey</u> <u>Subjects</u>. To obtain as representative a sample as possible, a stratified random sample of one-third of the residents was drawn from all inmates assigned to each unit at the Reformatory.[12]

Residents at the Reformatory were identified by unit assignment and sub-unit designation (close, medium, honor custody levels). Residents in administrative segregation, punitive segregation, and protective custody at the time of sampling were added to the "close custody" list of their appropriate unit. To prevent introducing bias resulting from disproportionate distributions of black or white inmates across custody levels, residents were also racially stratified. Thus, one of every three white residents and one of every three black residents in each unit and sub-unit were randomly selected.[13] Table 3.4 on page 52 summarizes the sample by unit, race, and custody level. As the table demonstrates, the total sample size was 169 inmates, distributed relatively evenly across categories.[14]

After consulting with MIR administrators, evaluators decided that as many staff members as possible should be surveyed to

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[12] Moos (1968) suggests that a one-third sample has been demonstrated adequate for generalization of results.

[13] The sampling procedure involved random selection of a number from one to three representing the number of the first inmate to be selected from each sub-unit listing; then selection of every third name corresponding to racial identification on the list.

[14] Except for a higher percentage of medium custody residents on Unit 3 (and a corresponding lower percentage of close custody residents), resulting from Unit 3 policy of introducing new residents directly into medium custody (see Chapter 4, pp. 76).

TABLE 3.4

RESIDENT SAMPLE DISTRIBUTION BY UNIT, CUSTODY LEVEL AND RACE

CUSTODY LEVEL	UNIT 1		UNIT 2		UNIT 3		UNIT 4		TOTAL	
	(f)	%	(f)	%	(f)	%	(f)	%	(f)	%
A. Resident Sample										
CLOSE										
White	(12)	27.9	(12)	28.6	(8)	19.1	(10)	23.8	(42)	24.9
Non-White	(6)	14.0	(5)	11.9	(5)	11.9	(7)	16.7	(23)	13.6
MEDIUM										
White	(10)	23.3	(7)	16.7	(9)	21.4	(10)	23.8	(36)	21.3
Non-White	(1)	2.3	(3)	7.1	(5)	11.9	(1)	2.4	(10)	5.9
HONOR										
White	(9)	20.9	(12)	28.6	(10)	23.8	(10)	23.8	(41)	24.3
Non-White	(5)	11.6	(3)	7.1	(5)	11.9	(4)	9.5	(17)	10.1
TOTAL SAMPLE	(43)	100.0	(42)	100.0	(42)	100.0	(42)	100.0	(169)	100.1
B. Response Data										
Number of Respondents	39		31		39		34		143	
Response Rate	90.7		73.8		92.9		81.0		84.6	

achieve representative results. Subsequently, various staff
members throughout the institution, including security, vocation-
al/educational, professional, technical, clerical, administrative,
and management employees, completed the questionnaires. Table 3.5
on page 54 summarizes the staff sample by type of position.

Questionnaire Administration. Survey questionnaires were admin-
istered to residents and staff at the Reformatory on February 25-
27, 1980. In all, 134 of 183 total staff members (or 73.2% of
the total staff) and 143 inmates of the 169 one-third sampling
(or 84.6% of the resident sample) completed the questionnaires.[15]

Project staff introduced themselves before each testing
period, explained each test and its use in the study, and empha-
sized that each respondent's participation would be strictly
voluntary and anonymous. Consent forms were included as part of
the test packets for both residents and staff.[16] Procedures
involved testing residents and staff from two units each on
February 25th and 26th; testing evening (shift 3) and morning

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[15] As can be seen from Table 3.4, resident response rate was high-
est for Units 1 and 3 (over 90%), and much lower for Unit 2
(74%) and Unit 4 (81%). The reason for this variation is
unclear. The procedures used by unit staff served to assure
that virtually all available residents were present for test-
ing; but since participation was voluntary variation was still
possible. An obvious, although hard to understand, explanation
was the fact that Units 2 and 4 were tested in the afternoons.
Another factor, however, was the fact that sampled residents in
segregation and protective custody were included in each unit's
totals. Response rates may, therefore, have been in part a
function of the number (and willingness to participate) of
these isolated residents.

[16] Signed consent forms are on file in project offices. A copy
of the consent form can be found in Appendix A.

TABLE 3.5

STAFF SAMPLE DISTRIBUTION BY JOB CATEGORY

JOB POSITION	SAMPLE		RESPONDENTS		RESPONSE RATE
	(f)	%	(f)	%	%
Management	(8)	4.4	(8)	6.0	100.0
Security	(105)	57.4	(59)	44.0	56.2
Professional	(37)	20.2	(29)	21.6	78.4
Clerical	(14)	7.6	(11)	8.2	78.6
Miscellaneous	(19)	10.4	(13)	9.7	68.4
Other (missing)*	---	----	(14)	10.4	-----
TOTAL	(183)	100.0	(134)	99.9	73.2

* Fourteen staff respondents failed to complete the portion of
the survey identifying their job classification and are thus
reported as "missing" in this breakdown by job category.

(shift 1) employees as available during their working hours; and completing testing with administrative/punitive segregation and protective custody residents and remaining day (shift 2) employees on February 27th.

Overall, the questionnaire administration ran very smoothly. Complete support was provided by institutional management, and almost all residents were cooperative and willing to complete the questionnaires. There was, in fact, very little resistance to the testing in general, although some staff were skeptical and considered the experience a "waste of good time".[17]

Processing Survey Results. Detailed coding guides were developed for all survey questionnaires by project staff.[18] Survey data were coded on IBM data processing sheets and organized into a standard SPSS (Statistical Package for the Social Sciences; Nie, et. al., 1975) system file for computer analysis. Results of these analyses will be reported in Chapter 5 of this report.

Analysis of Official Records Data

A concern raised by MIR officials early in the discussions leading to this project was their developing the capacity to

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[17] Most of this dissatisfaction came from non-unit and non-management personnel within the institution. These staff were included in the testing since functional unit management is designed to represent total institution management; therefore, the general ideas of such persons regarding unit management were also felt to be relevant. Most of these staff do, for example, have regular contact with residents at MIR.

[18] Copies of these coding guides may be obtained from project staff.

conduct continuing "in-house" evaluations of institutional programs. Specifically, they were interested in developing methods to identify and utilize relevant data available in the Division's information system.[19]

Accordingly, an objective of this evaluation involved utilization of these data, primarily for demonstration purposes. Because a high percentage of MIR residents are released on parole (and because new statutes require conditional supervision on parole of all correctional releasees) a review of Division of Probation and Parole records was also included in this objective.

It was not possible, however, to integrate these data into the rest of this evaluation for several reasons. First, although Division of Corrections' data, maintained by the (umbrella agency) Department of Social Services' data processing section, was readily available, it was available only in a form in which all identifying numbers had been removed.[20] Thus, there was no way to obtain data for the same residents who had been sampled in the survey (since the survey was anonymous, of course, there would

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[19] Although individual residents' data have been stored in the Division's information system for several years, they have been utilized primarily in processing residents. No procedures or programs have been available for combining these individual records into aggregate data useful for program evaluation.

[20] At the time these data were requested, Social Services' staff were in the process of changing their computer systems, and were unable to provide staff assistance for programming to select a sample, identify and retrieve desired data, etc. Instead, all Division data were made available (on tape), but confidentiality regulations required that all identifying numbers be deleted.

have been no way to link the two sets of data under any circumstances).

Furthermore, Division of Probation and Parole records could usefully be reviewed only on residents who had been released for several months. Thus, parole data had to come on residents who were in the institution at a much earlier stage of implementation (a sample from 1978 was selected) and generalizations from that sample to current or future populations of residents would be speculative at best.

It seemed most appropriate, therefore, to consider this phase of the project as a demonstration only, to suggest ways in which official records could be used in on-going evaluation. Methods involved in this phase and a demonstration of results will be presented in Appendix C.

CHAPTER 4

PARTICIPANT-OBSERVATION RESULTS
Program Description and Operations[1]

This chapter presents results of the participant-observation methodology outlined in Chapter 3 (pp. 36-43). Specifically included is a description of the structure and operation of the functional unit management program in the context of the Reformatory as an institution, and the results of data collection on variables (informal interaction and classification team participation) selected as indicators of the degree of implementation of the unit management program. Each of these areas will be discussed in turn.

Description of the Program

The Institutional Context. General information on the Missouri Intermediate Reformatory, and circumstances leading to development of the functional unit management program, were presented in Chapter 1 of this report. This section will detail key institutional personnel, programs, and activities that will provide a context for more complete understanding of the institution's functional unit management program.

The Residents. Clients, of course, are an important part of any institutional context. There are approximately 600

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[1] This chapter has been adapted from Cosgrove, 1980.

residents housed at MIR. The majority are first time incarcer-
ated male felons between the ages of 17-25. (In December, 1979,
a decision was made to return to MIR technical parole violators
who were previously incarcerated there, but the numbers of these
residents were quite small at the time of data collection).
The average stay of residents is about 11 months; the overall
parole rate of the institution is 80 percent. At the present
time the racial breakdown of the resident population is 58%
white and 42% black. The majority of the inmates are from
either the St. Louis or Kansas City area.

Administrative Personnel. The key administrative personnel
in the Reformatory are the Superintendent, two Assistant Super-
intendents, and the Correctional Casework Supervisor.[2] Figure
4.1 below displays the formal structure of these administrative
personnel.
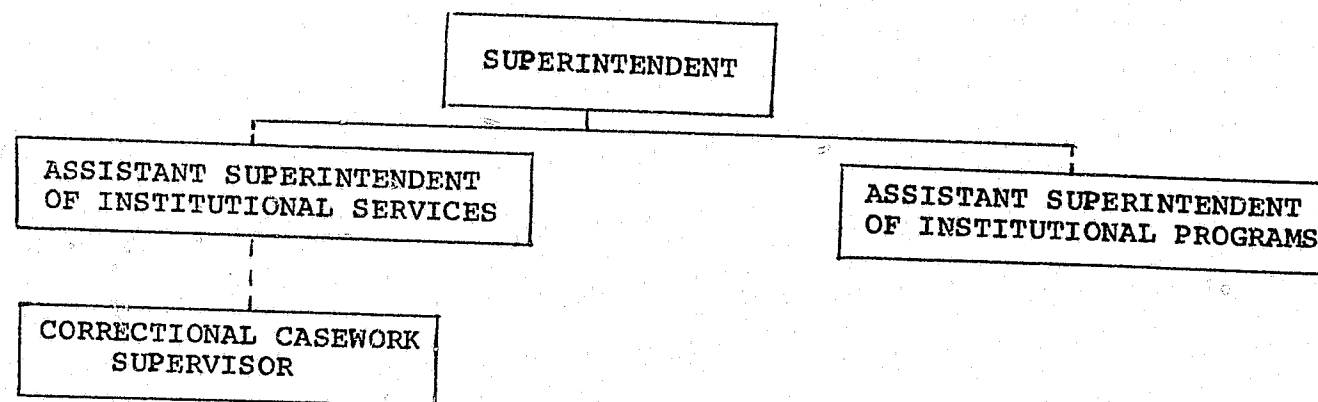
Figure 4.1. Formal Structure of Key Administrative Personnel.

The primary role of the Superintendent is overall institution-

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[2] The Chief of Custody also plays an important role, but this role
will be discussed in the context of custody later in this chapter.

al coordination. He supervises the activities of the institution,
attempting to insure that institutional and divisional policies
are implemented. He reviews violations, pre-releases, furlough
applications, and resident grievances; reviews and acts upon the
recommendations of the classification team; and meets weekly
with heads of major institutional components (custody, unit pro-
grams, institutional services, and institutional programs). He
also frequently attends unit manager and unit staff meetings.
Finally, because functional unit management is a relatively new
concept, the superintendent correctly considers employee rela-
tions, both with Reformatory and overall Division personnel,
an important part of his responsibility.

The Assistant Superintendent for Institutional Services is
primarily responsible for the direction of various services
offered to the resident population, including medical services,
the Osage Expedition (wilderness challenge program), recreation,
classification (unit system), mail and chaplains. In addition,
he assists the Superintendent in the operation of the institution
by providing input regarding institutional services and sugges-
tions regarding institutional policies and procedures, both formal-
ly in the Superintendent's executive meetings, and informally
through periodic conversations. He also participates in discipli-
nary hearings and is a regular member of the Classification
Committee.[3]

The second Assistant Superintendent is responsible for
Institutional Programs, including laundry, education, farms, food

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[3] See pp. 64-65 for a summary of the classification committee's
function.

service, maintenance, and fiscal management. This Assistant Superintendent supervises the overall activities of these programs, providing relevant input to the Superintendent. In addition, a major portion of his job is to assist the Superintendent in the administration and operation of the facility through attendance at unit managers' meetings and unit staff meetings.[4]

The final key administrative position is the Corrections Casework Supervisor, who is the direct supervisor of the various unit's staff. A major part of this person's job is the supervision and the coordination of the units and their activities through attendance at unit staff meetings or participation in informal unit manager's meetings (conferences with the four unit managers)[5] Meetings such as these serve to develop consensus among the units to be presented to various institutional departments. The Corrections Casework Supervisor sees himself as "middle management", providing a link between unit staff and top administration through his participation in unit staff meetings, unit managers' meetings, and the Superintendent's executive staff meeting. In addition, he is also involved in the institutional disciplinary hearings, serving as a member of the Adjustment Board and the Classification Committee.

Project staff observations of institutional activities have led to the suggestion that an informal structure exists between

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[4] See pp. 82-83 for a description of the unit staff meeting.

[5] See pp. 84-85 for a description of the informal unit managers' meetings.

these key administrative personnel,[6] depicted graphically in Figure 4.2 below.
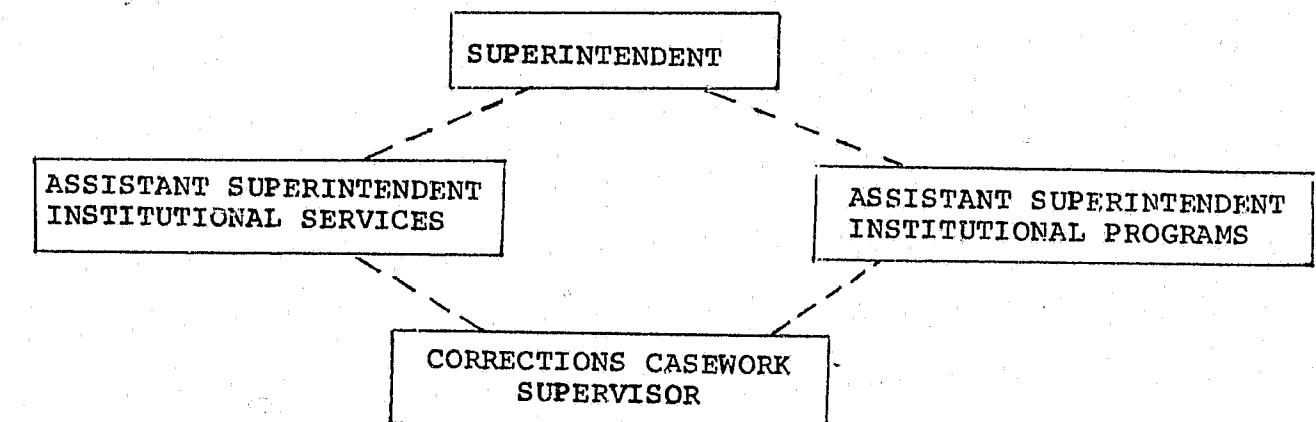
Figure 4.2. Informal Structure of Key Administrative Personnel.

Institutional Activities. Four institutional activities are relevant to the operation of the functional unit management program: new resident orientation, the grievance procedure, the adjustment board meetings, and classification committee meetings. The objective of new resident orientation is to provide new residents with information regarding rules, regulations, and institutional programs. Orientation involves one week in the reception and orientation unit, when the new inmate is told what is expected of him while he is in the institution. Once a resident has been assigned to a unit, a member of the unit staff will complete the

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[6] The Corrections Casework Supervisor was new to the position when observations were conducted, having been appointed in January, 1980, and was only beginning to become familiar with the tasks associated with his position. This individual had experience as a unit manager, and therefore was familiar with the program, but at the time of observations he may have been lower in the informal administrative structure merely because of his relatively new status.

orientation procedure with a tour of the institution, a lecture
regarding unit policy, and the development of a personalized
plan based on the assets and needs of the particular resident.

A grievance can be filed by a resident if he feels that he
has been dealt with in an illegal or discriminatory manner. In
such a case, the classification team reviews and responds to
the resident's grievance. The resident can then accept the
classification team's response or appeal the decision to the
Superintendent; and if he is not satisfied with the Superin-
tendent's response he can appeal to the Director of the Division
of Corrections. The purpose of the grievance procedure is to
provide a safeguard against abuses of authority by staff.[7]

The Adjustment Board is the major disciplinary board in the
institution. The Adjustment Board usually has three members:
the Corrections Casework Supervisor, a Correctional Officer
Captain, and the Chief of Custody (who serves as chairperson).
A case might be referred to the adjustment board for several
reasons. Any violation of the first seven institutional rules[8]
results in an automatic referral to the Adjustment Board. A
second type of referral can come from the classification team,
if, for example they feel a resident is unusually agressive,
violent, or is receiving a large number of violations. In such

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[7] Although project staff observations of grievance procedures were
limited, several residents expressed the opinion that grievance
procedures were not extremely useful tools for resolving
problems, and suggested that the act of filing a grievance may
result in more trouble for the resident from various staff members.

[8] Murder/manslaughter, assault, dangerous contraband, escape or
attempted escape, riot, forcible sexual misconduct, or arson.

an instance the adjustment board would be asked for appropriate
sanctions, such as transfer to administrative segregation or to
another institution, or for the resident to be placed on "9/12ths"
or "12/12ths" time instead of the normal "7/12ths" time (with the
result that the resident must serve a longer sentence).[9]

Once a resident has been referred to the MIR Adjustment Board,
his case will be heard during a regular Tuesday morning meeting.
The resident will be accompanied by a unit team member (usually
the unit manager or the caseworker) who presents the recommenda-
tion of the unit team. The Adjustment Board will review the
resident's file, hear the case, and listen to the recommendation
from the unit team. Additional information may also be requested
from the institutional investigation office staff. After review-
ing all information, the Adjustment Board makes a recommendation to
the Classification Committee for approval.[10]

The Classification Committee also serves a major discipli-
nary function in the institution. The classification committee
usually meets on Friday mornings, with suggested members including
the Corrections Casework Supervisor, the Chief of Custody, and the
Assistant Superintendent for Institutional Services (although other

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[9] For example, a resident entering MIR with a three-year sentence
ordinarily would be required to serve 21 months (or 7/12ths of
the sentence); the Adjustment Board could increase the amount
of time to 27 or 36 months.

[10] Although the Adjustment Board only makes recommendations to the
Classification Committee, several unit staff members have indi-
cated to project staff that the Adjustment Board is the more
powerful of the two, and that the Classification Committee
usually approves the recommendations of the Adjustment Board.

people often are substituted at any given meeting). A member of
the unit team usually accompanies the resident to Classification
Committee meetings. The classification committee hears recommen-
dations from the classification team and/or the Adjustment Board
on disciplinary actions, transfers, movements to or from
administrative segregation or protective custody, or other insti-
tutional matters, suggests any changes in resident contracts (with
unit teams) that they may feel is necessary, and forwards its
decision to the Superintendent for final approval.

Custodial Structure. The custody staff at MIR is structur-
ed into a traditional hierarchy, with a Chief of Custody (major),
captains, lieutenants, sergeants, and line correctional officers.
The Chief of Custody's major responsibility is custody, and all
his energies are directed toward this goal. As the Chief of
Custody, he is responsible for the supervision and coordination
of the custodial staff, done primarily by means of weekly captains'
and lieutenants' meetings. The captains, lieutenants and ser-
geants are the immediate supervisors of line correctional officers.
Project staff observations demonstrated that the line correctional
officer had the most contact with residents, and therefore the
majority of this section will focus on the position of line correc-
tional officers.

The primary function of the correctional officer is security.
Initially (1974) correctional officers were members of the classi-
fication teams at MIR, but at the present time they are not.
Currently, a correctional officer may attend the team classifi-
cation meetings if he so desires, but is not allowed to vote on

the team's final decision. The reasons for these changes are
unclear, although "insufficient staffing" is frequently cited.
It may be that the presence of a correctional officer created
constant confrontations between the officers and the residents.

Nevertheless, there was some concern (at the time of our
observations) that the correctional officers were not significant-
ly involved in the functional unit management program, were iso-
lated from the unit processes, and should be more involved in
unit activities . The unit managers agree that the correctional
officers should not be isolated from the unit processes, but may
not be in favor of allowing them to vote on the classification
team. They do, however, often encourage the correctional officers
to provide input to the team classification meetings, occasionally
asking a correctional officer to attend one of the meetings.

In conjunction with their primary role of security, correc-
tional officers are strongly encouraged (by the Chief of Custody)
to attend unit staff meetings to provide input regarding the
climate of the unit. Correctional officers observed in attendance
at unit staff meetings commented primarily on the atmosphere of the
individual dorms, questions concerning unit procedures, specific
problems in the dorms and/or suggestions regarding unit policy.

At the time of observations two major concerns were expressed
by the unit and administrative personnel regarding the correctional
officer. The first concern was the level of training for the
correctional officer, and in particular, the lack of any special

training in terms of functional unit management.[11] The second
related concern was that correctional officers were underpaid,
making it more difficult to keep quality officers on the job.
Rapid turnover among correctional officers is undoubtedly detri-
mental to developing the kinds of working and trusting relation-
ships needed between staff members and residents in the correc-
tional setting.

Institutional Facilities. The Missouri Intermediate Reform-
atory is composed of ten housing buildings. Eight are used to
house residents in the units;[12] the other two are used for Adminis-
trative and Punitive Segregation (building six), and for Reception
and Orientation, Protective Custody, and the Special Adjustment
Unit (building nine).[13]

A resident can be sent to Administrative Segregation for an
initial period of no more than 30 days. At this time he is
reviewed by the Classification Committee and is either released to
the general population, referred to the Special Adjustment Unit,
or is given additional time in Administrative Segregation. The
Classification Committee is the only disciplinary board which can
place a resident in Administrative Segregation. Residents in

[11] The Assistant Superintendent for Institutional Programs has an
informal interest in the institution's custody program and has
expressed interest in upgrading training for MIR correctional
officers.

[12] See page 4, Chapter 1, for a map of institutional buildings.

[13] See pp. 72-74 for a discussion of these aspects of the
functional unit management program.

Administrative Segregation are under constant supervision, and
personal possessions and freedom of movement are greatly restrict-
ed.

Residents may be placed in Punitive Segregation by the class-
ification team for no more than ten days in a row. The restric-
tions on residents in Punitive Segregation are more extreme than
in Administrative Segregation, as they are locked in their cells
for the majority of the day. Punitive Segregation is commonly
referred to by most staff and residents as "the hole".

A resident may request a transfer to Protective Custody at
any time during his term at MIR to eat, work, and remain apart
from the general population for his own protection. The Special
Adjustment Unit is designed to allow residents released from
Protective Custody, Punitive Segregation, or Administrative Segre-
gation to gradually return to the general population. The Special
Adjustment Unit is not required for all residents returning to
the general population, but only those that the unit team feels
would benefit from it.

A second facility is the education department, divided into
academic and CETA (Comprehensive Educational and Training Act)
components. There are 15 people who teach academic subjects. One
of the aims of the educational program is to allow residents an
opportunity to achieve their GED (high school equivalency). For
those residents who cannot obtain a GED, basic subjects are stressed.
In addition to the regular classroom, the education department
provides a more intense program referred to as the Learning Center.
The Learning Center, serving residents over the age of 21, is

designed to provide additional help to residents who are having a difficult time in the regular classroom. The CETA program consists of small engine repair, wood working, welding, plumbing, electrical repair, auto mechanics, and machine shop. All CETA courses are certified and provide job related training for the residents during their period of incarceration.

One position in the education department directly related to the functional unit management program is the Educational Representative. In previous years the teachers were considered official team classification members, but as of September, 1979, one individual now represents the teachers on all four teams.[14]

A third set of facilities at the Reformatory are the farm and other work areas. MIR is located on several hundred acres of farm land in central Missouri, and with the assistance of the farm staff the residents work this land. In addition to the farm, other facilities which employ inmates are the powerhouse, greenhouse, food service, library (which is very small), and recreational department.

The Functional Unit Program. We will discuss this program in terms of its development, structure, and operations. In addition, variations among units will be explored.

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[14] For the months of January and February, 1980, the educational representative did not participate in the team classification activity, because he had to work on the American Corrections Association (ACA) accreditation; during this period each unit was given one teacher to serve as the educational representative.

Development of Unit Management at MIR. The initial plan for implementation of functional unit management at MIR referred to the concept created by the Federal Bureau of Prisons. However, while the advantages of MIR's functional unit management program were to be the same as those listed by the Bureau of Prisons[15] the Bureau's program was used only as a model, not as a goal for reproduction. Based on the advantages of functional unit management, the initial goals for MIR were to improve the institutional climate; to increase the number of staff and inmates who have input into the day-to-day functioning of the institution; and to improve the relationship between staff and inmates (Missouri Division of Corrections, 1978b).

Functional unit management at MIR was developed in two primary stages. The first stage involved the implementation of team classification, separation of the larger population into four smaller units, placement of staff offices in the inmate housing units, development of a skeletal file system, and development of the three custody levels.

Once the team classification concept was operational, the institution's population was divided into four units. Each caseworker was assigned a unit, and those residents who had previously been on a caseworker's caseload were placed in his unit. In conjunction with the creation of the four units, three other moves occurred. First, the caseworker's and classification assistant's

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[15] See Chapter 2, "Perspectives from the Literature" of this report.

offices were placed in the resident housing areas. The basic
assumption behind this move was that staff would develop a better
understanding of the residents, and that communication between
residents and unit staff would increase. Second, each unit was
divided into three custody levels (honor, medium, and close). In
the development of the custody level system, two honor dorms were
added, which allowed each unit to have an honor dorm. Third, a
skeletal file system allowed the units to maintain information on
residents in their units. By placing copies of files in unit
offices, staff members had easier access to information on their
residents.

The second stage of development occurred in July, 1978, when
the Missouri Merit System authorized the position of unit manager.
A unit manager was hired for each unit and given administrative
authority in the unit (i.e., staffing patterns, supervision of
unit procedures, etc.).[16]

At the time of observations the functional unit management
program was fully operational. Each unit had approximately 150
residents, and the three custody levels were present in each unit.
Team classification was utilized in the handling of resident viola-
tions, resident reviews and program adjustment, and incident

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[16] At the time of observations, however, Unit 4 was understaffed,
lacking a unit manager, as the individual who was formerly the
unit manager had become the educational representative for all
four teams. The caseworker of Unit 4 was acting as unit manager,
assuming both the duties of unit manager and of caseworker. Be-
cause this individual was informally the unit manager of Unit 4,
all analyses of Unit 4 are based on the assumption that the unit
was one caseworker short. The other three units were fully
staffed, each with a unit manager, caseworker, and classification
assistant.

investigations. Official members of the unit team at the time
included the unit manager, caseworker, classification assistant,
parole representative and the educational representative.

Program Structure. As previously noted, there are ten
housing buildings at MIR, divided into four units by assigning
two buildings to each unit (with two buildings used for reception,
segregation, and protective custody).[17] Each building houses
approximately 75 residents.

The housing facilities are all separate buildings, and this
aspect of the MIR facility is important to functional unit manage-
ment. Separate buildings make it easier to distinguish the
various units and their classification teams and, in addition,
allow each unit to utilize a custody level system, with one
building housing those residents on close and medium custody and
the other housing residents on honor status.

The major objective of the units is to divide the larger
population "into small and manageable groups, whose members
develop a common identity and close association with each other
and their unit staff" (Missouri Division of Corrections, 1978b).
One effect of creating four individual units has been to increase
the flexibility of the unit staff with regard to unit programs.
Each unit has the authority to conduct or initiate programs as
they wish, as long as they comply with general institutional
policy.

A resident is assigned to a particular unit on the basis of

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[17] See p. 4, Chapter 1, for a map of institutional buildings.

available space. For example, if two new residents arrive and Unit 4 is the only unit with available bed space, they are placed in Unit 4. The units may also make an effort to maintain a racial balance in their population, and thus race may also be a factor in the decision to place a new resident in a particular unit.

A key program feature is the placement of staff offices in the residents' housing area. The major objectives behind this placement were to allow the staff to develop a better understanding of their residents, and to increase communication between unit staff and residents. One result of the placement of staff offices in resident housing areas is that unit staff are more accessible to residents than when the staff offices were in the administration building. Although access to staff offices may vary according to custody level, it seems as though residents can visit the staff offices fairly easily.

The staff offices of all four units are located on the third floor of the close and medium custody housing buildings. The major differences in the physical layout of the offices is that in Units 1, 3, and 4 the unit manager, caseworker, and classification assistant all share an office; in Unit 2, the caseworker and classification assistant share an office but the unit manager has a separate office.

A second key feature is the custody level system of each unit. There are three basic custody levels: close, medium, and honor. One housing building of each unit is composed of close and medium status, and the second is used to house residents on honor status.

There are three major differences among the custody levels. First, as a resident progresses through the custody level system, he has fewer restrictions placed on his freedom. For example, residents in close custody are not allowed to work on the farm and they are under constant supervision of a correctional officer when in the housing building. Second, residents on honor status receive less stringent restrictions on personal belongings than those on medium or close status. Third, residents on honor status have their own rooms, while medium and close status residents usually are required to share a room. Table 4.1, on page 75, provides a list of the restrictions and privileges which accompany each custody level. One result of the custody level system is that it separates residents who have proven they can make progress in the institution from those who have not yet exhibited positive behavior during their term in the institution.

Residents progress through the custody level system by means of a series of behavioral contracts. The behavioral contract is created by the classification team during the resident's initial review and is altered as necessary during subsequent reviews. A resident's contract is reviewed by the classification team after thirty days on close custody; after sixty days on medium custody; and every ninety days when he is in the honor dormitory. The basic contract requires the resident to acquire no conduct violations, to maintain satisfactory work and/or training reports, and to obtain satisfactory reports on weekly inspections for the length of the contract.

TABLE 4.1. RULES AND PRIVILEGES BY CUSTODY LEVEL

MISSOURI INTERMEDIATE REFORMATORY
(Revised 4-11-79)

CLOSE CUSTODY

1. No television in rooms. One television set per Recreation Hall.
2. One radio per room.
3. Recreation Hall closed during check-in and check-out time.
4. No outcounts.
5. No furloughs.
6. No visiting between rooms. Visiting in Recreation Hall only.
7. No recommendation for parole from Team.
8. A telephone call every 60 days.

MEDIUM CUSTODY

1. One television set per room.
2. Furloughs for critical need only.
3. One radio per inmate.
4. May have three (3) people in a room to visit.
5. May be eligible for outcounts if inmate has been here ninety (90) days with thirty (30) days clear conduct.
6. Possess non-electric guitar.
7. Eligible to work at Greenhouse.
8. A telephone call every 45 days.

MINIMUM CUSTODY (HONOR)

1. Free visiting between rooms and Recreation Halls on same floors. Anyone caught behind the J.C. Door on another floor is automatically removed.
2. Free movement on Hill within out-of-bound limitations and time restrictions.
3. Front door locked at 4:00 p.m. except during daylight savings time when it will be open until 9:00 p.m. or dusk -- whichever is soonest.
4. Receive favorable parole recommendations from Team, except in highly unusual circumstances.
5. Except in unusual circumstances, residents will receive positive recommendations for transfers to an honor center or halfway house.
6. Eligible for furloughs.
7. May possess throw rug, non-electric guitar, bedspread, radio, TV, and other items approved by the Superintendent.
8. Eligible for Osage Expeditions.
9. Given priority on outcounts.
10. May be assigned outside of perimeter fence; i.e., Farm, Powerhouse, Kennelman, and Bus Driver, etc.
11. A telephone call every 30 days.

The behavioral contracts operate in conjunction with the reality therapy treatment modality. Residents are made aware of behavior that is expected of them and the natural consequences of negative behavior. In addition, the custody level system is used to provide an incentive system where residents may gain privileges through positive behavior. The hope is that a resident will recognize that his behavior regulates his progress within the institution, and that he is responsible for his negative behavior and its consequences.

There is one major difference among the four units with regard to the custody level system. Units 1, 2, and 4 all place new residents on close custody. Residents are then allowed to move to medium custody if they successfully complete a thirty-day contract designed by the classification team, and may move from medium custody to honor status if they successfully complete a sixty-day contract. According to unit staff in these units, new residents are placed on close custody in an effort to determine if they can follow rules and regulations. All of the custody moves, however, are dependent on available space on the next higher level (for example, if a resident is eligible for the honor dormitory and there is no space, he must wait until space is available). A resident who is placed on either medium or honor status, furthermore, can be returned to close custody for a serious violation or a larger number of minor violations (usually something that would result in a resident being sent to Punitive Segregation).

The custody level of Unit 3, however, is different from that of the other three units. Unit 3 places all new residents direct-

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1 OF 3

ly on the medium custody level (although sometimes medium custody may be overcrowded and new residents must start on close custody). According to the staff on Unit 3, the idea behind placing new residents on medium custody level is to separate them from residents who have shown negative behavior in the past (close custody residents), and therefore possibly provide a better atmosphere for new residents. In addition, the staff of Unit 3 seem to feel that by placing new residents on medium custody, they are giving them the impression that the staff respect and trust them.

Unit Staffing. The unit staff includes the Unit Manager, Caseworker, and Classification Assistant. The Unit Manager is the administrative head of the unit. Ideally he should supervise the unit staff and manage the unit through "management by objectives" and participatory management. Under this model, the Unit Manager and the unit staff would consult on matters pertaining to the operation of a unit, handling of residents, and institutional procedures; and this consultation would result in the setting of objectives which the unit staff would seek to fulfill through various unit activities.

The role of the Unit Manager is still somewhat unclear and seems to be developing at MIR. Nevertheless, there seems to be a feeling on the part of upper administration that the position is a powerful one in the organization. In addition to managing the unit, the Unit Manager coordinates and supervises the classification team and thus delivers such correctional services as assistance, control, and counseling of residents.

The Unit Manager's role also requires him to provide a liaison between the unit staff and upper administration of the prison. The Unit Manager chairs the unit staff meetings, receiving input from the unit staff regarding institutional and unit policies and procedures. He also attends meetings with the Corrections Casework Supervisor and participates in meetings with various administrative heads of the institution. In these meetings, the Unit Manager provides input to the administration based on information received from their unit staff.

The Caseworker has a diverse role, and individual Caseworkers are involved in numerous custodial and treatment activities. Caseworkers were observed participating in team meetings, unit staff meetings, orientation procedures, informal counseling of residents, and resident council sessions. In participating in these activities the Caseworkers were assisting the Unit Manager in the management of the unit, implementing treatment during the team meetings, providing information to inmates, and acting in a custodial function to ensure control in the unit.

The third position in the unit is the Classification Assistant. The Classification Assistant is a member of the classification team and is expected to provide input to the team meetings. The role of the Classification Assistant, like that of the Caseworker, is diverse. Classification Assistants were observed as involved in team meetings, unit staff meetings, informal counseling, movements of residents to various custody levels, and orientation lectures.

The diversity which is involved in the Classification Assis-

tant's role requires him to be active in both treatment and custody activities. The general feelings of the Classification Assistants seem to be that they function in a "helping" role until a resident creates a problem, when they must adopt a custodial role.

In terms of appearance the Classification Assistant resembles a Correctional Officer, as both wear Division of Corrections' uniforms. The institution's administration has suggested that the Classification Assistant wear plain clothes, but this idea did not gain serious consideration. The Unit Managers and the Corrections Casework Supervisor seem to feel the Classification Assistant should remain in uniform, perhaps because of the possibility that the Classification Assistants may be placed in charge of unit Correctional Officers (a move that might be easier to implement if the Classification Assistants remain in uniform). In an overall sense, the Classification Assistant assists the team in the implementation of treatment, provides information to residents, participates in the daily operation of the units, and helps to ensure unit control.

The formal structure of the unit staff members calls for a hierarchy of authority within the unit. In each unit, the Unit Manager seems to be the administrative head and top authority figure. The Unit Manager attends administrative meetings, chairs unit staff meetings, and gives directions to Unit Staff. The distinction between the Caseworker and the Classification Assistant seems to be less clear and an informal structure in the unit appears to be more prevalent. Based on project staff observations of unit activities, unit staff meetings, and unit team meetings,

it appears that the Caseworker and Classification Assistant may possess equal power and authority within the unit.

All Unit Staff Members have had previous correctional experience as either a Caseworker, Correctional Officer, Probation Officer, or Youth Specialist. All Unit Staff Members have also participated in various training programs offered by the Division of Corrections, including Basic, Intermediate, and Advanced correctional training; management training; and team classification training. In addition to these programs, some of the Unit Staff Members have also participated in reality therapy training.

Unit Management. Functional unit management requires a decentralized organizational structure, allowing decisions to be made, within the framework of institutional policy, at lower levels of the organization. This section focuses on the managerial style employed in the MIR functional unit management program.[18] Figure 4.3 of page 81 presents the formal levels of organization in functional unit management at MIR, including Institutional Administration, the Corrections Casework Supervisor, Unit Staff, and Residents.

The units are managed by a Unit Manager through management by objectives and participatory management. Other than informal conversations between Unit Managers and their staff, the management of the unit is achieved through two major meetings: the Resident Council Meeting and the Unit Staff Meeting.

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[18] The organizational structure of the custody, maintenance, farm and other institutional services are represented by traditional centralized structure.

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                            ┌─────────────────────┐
                            │   SUPERINTENDENT    │
                            └─────────────────────┘
              ┌──────────────────────┐      ┌──────────────────────┐
              │ ASSISTANT SUPERINTENDENT │   │ ASSISTANT SUPERINTENDENT │
              │ INSTITUTIONAL SERVICES   │   │ INSTITUTIONAL PROGRAMS   │
              └──────────────────────┘      └──────────────────────┘
                  ┌──────────────────────┐
                  │ CORRECTIONS CASEWORK │
                  │     SUPERVISOR       │
                  └──────────────────────┘
        ┌────────┐  ┌────────┐  ┌────────┐  ┌────────┐
        │ UNIT 1 │  │ UNIT 2 │  │ UNIT 3 │  │ UNIT 4 │
        └────────┘  └────────┘  └────────┘  └────────┘
         Residents   Residents   Residents   Residents
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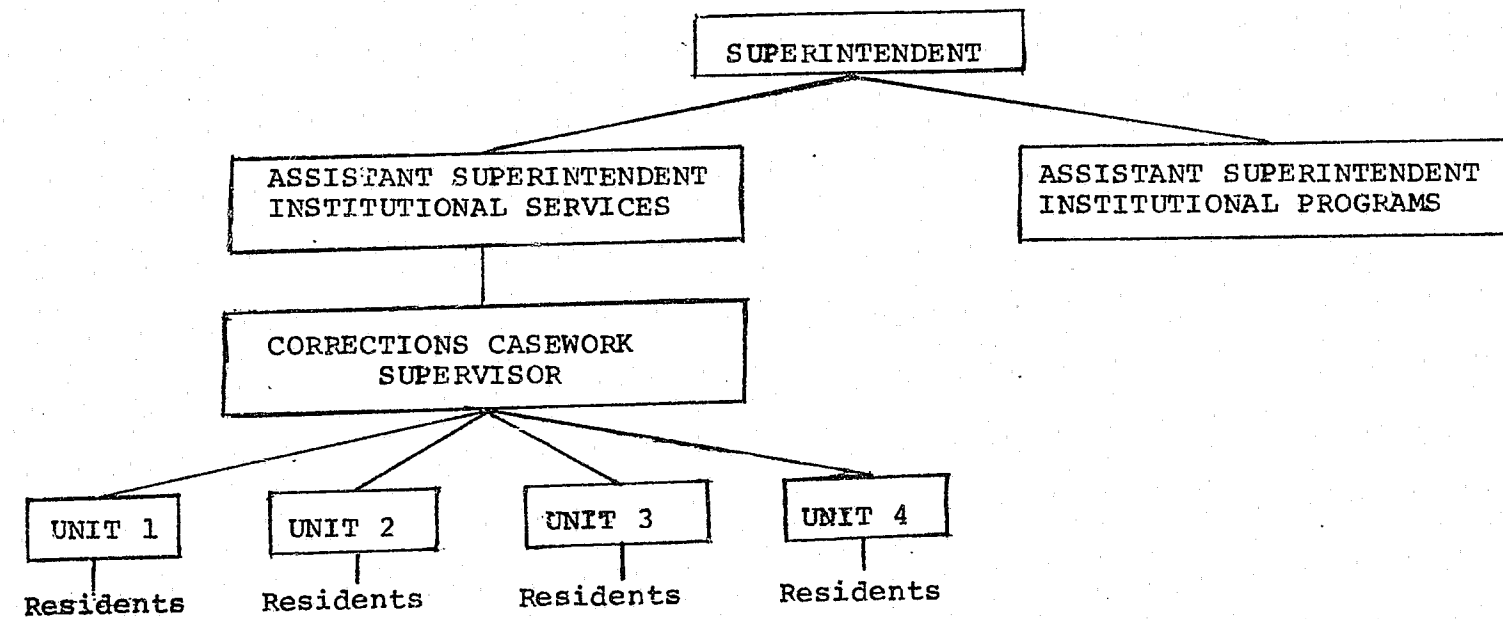
Figure 4.3. Organizational Structure of the MIR
            Functional Unit Management Program.

Units may operate the Resident Council in various manners, but the general principle behind the Council is similar. The Resident Council is composed of residents, either elected as representatives or participating as a total group. The various custody levels each have a Resident Council, which meets (ideally) with the Unit Staff at least twice a month.

The goals of the Resident Council Meetings seem to be to resolve resident problems, provide resident input in the management of the unit, and to enhance positive communication between residents and staff. An important notion underlying the Resident Council is that the residents are involved in the discussion of activities which may affect their lives.[19] By involving the residents in the discussion of unit policy, the functional unit management program incorporates members of the correctional organization who are ordinarily excluded, and thus may result in an increase of information and more efficient management of the institution. The Resident Council meeting, therefore, provides the first level of participatory management. Table 4.2 summarizes variations among units in resident council operation.

The second meeting which attempts to involve the lower organizational levels in decision-making and unit policy formulation is the weekly Unit Staff Meeting. The Unit Staff Meeting appears to be concerned with the transmission of information between the Unit Staff, Correctional Officers, and the Unit

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[19] In one unit, a suggestion from the Resident Council was observed to advance to unit staff level and eventually progress to to level administration for consideration.

TABLE 4.2
VARIATIONS AMONG UNITS IN RESIDENT COUNCIL AND UNIT STAFF MEETINGS

RESIDENT COUNCIL	UNIT ONE	UNIT TWO	UNIT THREE	UNIT FOUR
	Not always fully operational; at times does not exist at all. When operational, each custody level has own Council with 3 elected members. Unit Staff indicates transfers within custody levels impede operations.	Each Custody level has own Council with 3 elected members who discuss issues of concern to residents in meetings with Unit Staff. Staff report that only honor level Council is effective due to inter-level tranfers	Each Custody level has own Council, all residents on that level can participate. Each Council meets with Unit Staff every three weeks. (Elections not used because of movement between levels.)	Each Custody level has own Council with 3 elected members; but all residents on level may participate; meets with staff every two weeks. Staff indicate purpose is to bring unit problems into open and resolve minor difficulties before they become major.
UNIT STAFF MEETING				
Date and Time	2:30 p.m. Fridays	2:30 p.m. Mondays	2:30 p.m. Tuesdays	2:30 p.m. Wednesdays
Location	Unit Staff meetings in unit offices; resident council inactive at time of data collection.	Caseworker/Classification Assistant's office	Main unit office	Main unit office
Chairperson	Unit Manager or Caseworker	Unit Manager	Unit Manager	Unit Manager
Participants	Unit Staff; Corrections Casework Supervisor; Superintendent (or an Assistant Superintendent); 2nd and 3rd shift Lieutenant.	Same as Unit One	Same as Unit One	Same as Unit One
Procedures	Pre-arranged agenda discussed with staff present; items may include suggestions from Resident Council, unit atmosphere, institutional or unit policy, or other items.	Same as Unit One	Same as Unit One	Same as Unit One

Manager.

Based on observations, the Unit Staff Meeting appears to be an essential part of the unit's operation, providing an opportunity for all staff members (including correctional officers) to initiate and develop ideas, discuss problems, and exchange information regarding unit activities. Also, objectives are discussed and set during the Unit Staff Meeting, and decisions are then made by unit staff in regard to optimal ways to achieve stated objectives. The Unit Staff Meetings, thus, provide the second level of participatory management for the units.

In addition to facilitating unit operations, the Unit Staff Meeting allows unit staff to develop a consensus on certain issues which the Unit Manager can then discuss with higher administration. The importance of the Unit Staff Meeting is recognized by the upper administration because it initiates the flow of communication from the units to the administrative level. Table 4.2 also summarizes variations among the units in their conduct of unit staff meetings.

The previously mentioned meetings pertain directly to the management of the unit; but the functional unit management program provides an additional set of meetings which facilitate the flow of communication from lower to upper levels of the organization.

The first meeting of this type is the informal unit managers' meeting, between the Corrections Casework Supervisor and the four unit managers every other week. These individuals review concerns in the units, discuss any problems or suggestions from either the Resident Council or the Unit Staff Meetings, and attempt to arrive at a consensus which can be presented to other members of

the institution at the formal Unit Managers' Meeting.

The formal Unit Managers' Meeting focuses on issues and concerns of the various units, but other departments of the institution such as custody, school and vocational members are also present. The various departments represented at the formal Unit Managers' Meeting discuss issues presented by the unit program staff and make recommendations to top level administration. The major objective of the formal Unit Managers' Meeting, therefore, is to provide a formal process where the functional unit management "department" can present ideas to other members of the institution and receive immediate feedback.

The third meeting which provides input to the administration is the Section Heads meeting. The institutional departments of food service, medical services, farm, custody, and unit programs are represented at the Section Heads' meeting, where institutional issues are discussed. The purpose of this meeting is to allow various departments of the institution to be involved in decisions which are relevant to the operation of the overall institution. The issues discussed in this meeting do not pertain specifically to unit activities, but more to overall institutional activities. The input given to the administrative level is in the form of recommendations to the Superintendent regarding the issues discussed.

The final meeting which the administration utilizes to acquire recommendations and input from institutional departments is the Superintendent's Executive Meeting. The heads of the institutional departments of custody and the unit system, and the Assistant

Superintendents for Institutional Programs and for Services are represented. This meeting occurs every two weeks, and the major objective is to provide the Superintendent with information regarding institutional activities.

These meetings are essential to the operation of the Reformatory, allowing decisions to be made at the lower levels of the organization and facilitating the flow of communication through the organization. Figure 4.4 summarizes the meetings employed in the management of the Reformatory and indicates the flow of communication.
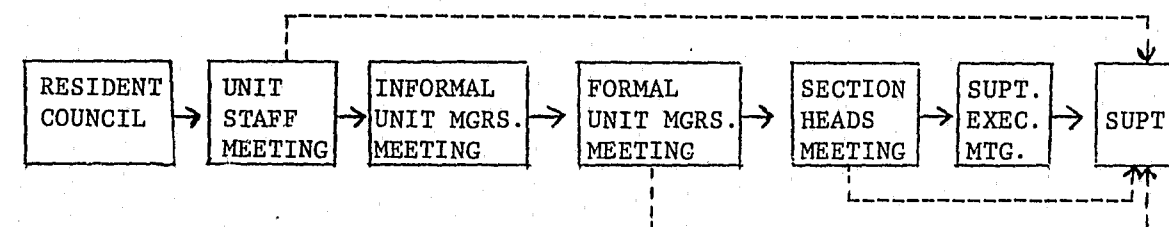
Figure 4.4 Schematic Summary of Management Meetings at the Missouri Intermediate Reformatory.

Team Classification Meetings. Although team classification represents a program in itself, it is also a major activity in the functional unit management program. The team classification system allows a variety of individuals from various levels and departments of the institution, and in particular those persons most closely and directly involved with the residents, the opportunity to make decisions regarding resident concerns. This idea is consistent with the participatory management concept in functional unit management. The objectives of MIR's team classification system are to provide more valuable program reviews and adjustments, and to increase the quality and swiftness of decision-making.

The major duties of the classification team are to review all residents on its caseload, make recommendations for treatment or classification, investigate problems in the unit, and handle conduct violations. Each unit has a separate classification team which consists of the Unit Manager, Caseworker, Classification Assistant, Parole Representative, the Educational Representative (and the resident under discussion). For the team to meet, at least three members must be present. Table 4.3 on page 88, summarizes variations among the four units in team classification meetings.

1. Violation Reviews. In the handling of violations, the team reviews the violation report and asks the resident to comment. In most cases the individuals present at the team meeting provide the input which results in the final decision. On a few occasions there is input which may influence the final decision from outside the team, such as from a teacher or work supervisor, or from an officer providing clarification of a violation.

There are five possible outcomes for a violation review. First, it is possible that a correctional officer may "squelch" a violation he has written before it goes before the team. This process occurs when the officer calls the team and says that he has dropped the violation. Second, a warning may be given to the resident, if the team has decided that the resident is guilty of the violation, but that it is not serious enough to merit punishment. Third, no action may be taken on the violation, if the team has decided that the resident is not guilty. Fourth, the team may find the resident and sentence him to a variety of

TABLE 4.3

VARIATIONS AMONG UNITS IN TEAM CLASSIFICATION MEETINGS

TEAM (CLASSIFI-CATION) MEETINGS	UNIT ONE	UNIT TWO	UNIT THREE	UNIT FOUR
Date and Time	1:00 p.m. - M & W	9:00 a.m. - T & W	9:00 a.m. - M, W & F	1:00 p.m. - M, T, & Th
Location	Main unit office*	Outer unit staff office*	Main unit office*	Main unit office*
Chairperson	Caseworker	Varies, may be Unit Manager, Caseworker or Parole Representative	Parole Representative (or Caseworker if he is absent)	Unit Manager (or Parole Representative if he is absent)
Persons Present	At least three team members members	Same as Unit One	Same as Unit One	Same as Unit One
Procedures				
a. violations	Chairperson reads violation; resident presents his case; team discusses violation; team votes on final decision.	Same as Unit One	Same as Unit One	Same as Unit One
b. inmate contracts	Staff members and resident discuss resident's progress and activities in institution, and based on discussion a new contract is agreed upon including agreement that resident: receive satisfactory work/training reports, not receive violations, (that are his fault), receive satisfactory room inspection reports.	Same as Unit One	Same as Unit One, except that resident is given a copy of contract.	Same as Unit One, except that resident is given a copy of contract.
c. furlough/ honor center application	Team reviews and screens on institutional criteria; sends recommendation to Superintendent (and Honor Center Representative, if applicable).	Same as Unit One	Same as Unit One	Same as Unit One

* Unless resident is in Administrative or Punitive Segregation or on Protective Custody.

punishments, depending on the seriousness of the violation.

The fifth outcome of a violation is that the team may decide not to handle the case, and instead refer the violation to the Adjustment Board. Any violation of the first seven institutional rules (murder/manslaughter, assault, dangerous contraband, escape or attempted escape, riot, forcible sexual misconduct, and arson) is automatically referred to the Adjustment Board for action. The classification team may also refer a case to the Adjustment Board if they decide the resident has been involved in negative behavior too frequently.

2. Contract Reviews. Resident contract reviews also occur during team classification meetings. Residents may be reviewed for five major reasons. The first type of review focuses on a resident's job or school progress, and any personal problems that might exist.

A second type of review occurs when a resident has been in Administrative Segregation or Protective Custody for thirty days. The classification team's review and recommendation is then sent on to the Adjustment Board, who will recommend to the institutional Classification Committee whether or not the resident should be released to the general population.

The third type of review is to obtain the classification team's recommendation for a transfer to the Pre-Release Center at Tipton. Residents who are recommended for transfer to an Honor Center (Kansas City, St. Louis, or Springfield) and are granted the transfer are first moved to the Pre-Release Center for about one month. This move seems to occur to allow the resident to

establish a bank account and to allow for a gradual release to the Honor Center. Only residents who are on honor status (minimum custody level) are allowed to transfer to an Honor Center, and the Superintendent must approve all such transfers.

The fourth type of review is to obtain the classification team's recommendation for a resident's furlough application, sent (if he is eligible for a furlough) to the Superintendent for final approval. The final type of review is to determine a recommendation for a resident's parole hearing.

Reactions to the Program. Reactions to a program can prove to be an important source of feedback to administration and program planners, providing data for program improvement. In terms of the administrative reaction at MIR, a key individual was the previous Corrections Casework Supervisor.[20]

The previous Corrections Casework Supervisor's reaction to the program was positive from the start, as he was one of the initial program planners. He has indicated, however, that there was some confusion among the staff and residents regarding the concept of functional unit management during its initial stages. Staff directly involved in the unit management program were unsure of their roles and duties and were thus unable to communicate the procedures and policies of the program to the residents and other institutional staff. Furthermore, other institutional staff not

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[20] Since the Superintendent, the two Assistant Superintendents, and the current Corrections Casework Supervisor are all relatively new to their positions, they may not be as knowledgeable as the previous Corrections Casework Supervisor with regard to development of the program.

directly involved were suspicious of functional unit management, as it seemed to give the residents more power and placed less emphasis on control.

A majority of this confusion has been eliminated with the passing of time, according to the previous Casework Supervisor. Nevertheless, the current administrative heads are still concerned with orienting the staff and residents to the program. Accordingly, the Superintendent and his Assistants have indicated that they would like to see more training and orientation for all staff members assigned to work at MIR, with such training stressing the principles of functional unit management.

The unit staff are the major personnel involved in the functional unit management program, and their reactions to the program are thus quite important. One of the initial steps in the program was to grant the Caseworkers additional organizational power and responsibility. In conjunction with this move, the unit staff was developed and also given a high degree of organizational power. The development of the unit staff allowed more people, especially the "treatment staff", to become involved in the operation of the institution, and this move seemed to please unit staff members.

At the present time, the general attitude of the unit staff members is positive. Unit staff have indicated that the atmosphere of the institution currently seems less tense than in previous years, and they feel that this improvement might be a result of the program. Another advantage of the program indicated by unit staff is that it allows the staff of a particular unit to know

the residents in their unit more completely. Unit staff members seem to feel, therefore, that the program may improve the relationship between unit staff and residents. Unit staff are also pleased that functional unit management allows more individuals to become involved in the handling of residents and the operation of the institution.

As previously stated, the move to functional unit management granted additional organizational power to the Caseworkers and the unit staff. This move did not please the custody department because the decision to implement functional unit management resulted in the institution moving away from the traditional custodial model. It appears, in fact, that the correctional officers (and the custody department in general) viewed the move to functional unit management as an insult to their ability to operate the institution. It was not surprising, then, that the custody department seems to have provided significant initial resistance to the program in 1975-1976, apparently attempting to sabotage the program by refusing to fulfill some required duties. This custodial resistance had been expected because the custody department was losing a significant amount of organizational power. In an attempt to lessen their resistance, orientation programs were provided for the custodial staff, but these orientation programs seemed to have been ineffective.

At the present time, however, the attitudes of the custody department seem to have improved to a degree. The majority of the correctional officers are now fulfilling their duties with regard to functional unit management, such as reporting to the

Unit Manager, attending unit staff meetings, and providing unit staff with information on the unit and its residents. Although there has been some improvement in the correctional officers' attitudes, there still seems to be some resistance to the program from various levels of the custody department. One reason for this, according to the Chief of Custody, is that functional unit management tends to isolate the line correctional officer from the team and the correctional process.

The majority of the residents at MIR seem pleased with the functional unit management program to some extent. For example, several residents expressed satisfaction because the program allows them to discuss their concerns with unit staff. Nevertheless, several residents did express dissatisfaction with functional unit management, in particular with respect to resident input. Although residents agreed that they were given the opportunity to participate in matters which affect them (through the Resident Council, team meeting, etc.) they felt that their input was not given the same weight as the staff's.

Finally, some conflict was noted between the unit staff and the custody department. The custody department seems to feel that the unit staff -- and functional unit management in general -- undermines their authority in the unit and in the institution. On the other hand, unit staff members often feel that the higher officials in the custody department are still offering resistance to the program.[21] Conflict between "treatment" and custody staff

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[21] One unit staff member indicated that although these individuals formally approve of the program, they informally offer considerable resistance to the program.

is prevalent in many correctional settings, and MIR seems to be no exception. However, such conflict may be lessened if unit and custodial staff strive to develop a working relationship, and if the level of orientation to functional unit management increases for all new staff members.

Quantitative Assessment of Program Implementation.

The preceeding pages summarize the institutional context, personnel and activities of the unit management program. The informal observations that led to this summary were augmented by the collection of data assessing two aspects of the implementation of the unit management program. Specifically, data were collected from observations of informal interactions between residents and staff and of resident and staff participation in team classification meetings. Results of each will be presented below.

Informal Interaction. Informal interactions were measured in terms of both intensity and length of interaction. Table 4.4 summarizes the intensity of sampled interactions. As can be seen from Section A, Units 3 and 4 tended to have a higher percentage of Level III, or "extra-institutional problem-solving," and Level II or "institutional problem-solving" interactions; while Units 1 and 2 had more Level I, or "basic institutional" interaction. These variations, however, were not statistically significant.

These results are presented in a different manner in Section B of Table 4.4, on which weighted intensity scores have been computed for each unit using Level I interactions = 1, Level II = 2, and Level III = 3. As can be seen, Unit 3 interactions ha_ the highest average intensity, with Units 4, Unit 1 and Unit 2 following.

TABLE 4.4

INTENSITY OF INFORMAL INTERACTIONS BY UNIT

A. Frequency Distribution of Level of Intensity

Intensity Level	All Units (f)	%	Unit 1 (f)	%	Unit 2 (f)	%	Unit 3 (f)	%	Unit 4 (f)	%
Level I	(99)	49.5	(26)	52.0	(27)	54.0	(22)	44.0	(24)	48.0
Level II	(74)	37.0	(18)	36.0	(17)	34.0	(20)	40.0	(19)	38.0
Level III	(27)	13.5	(6)	12.0	(6)	12.0	(8)	16.0	(7)	14.0
TOTALS	(200)	100.0	(50)	100.0	(50)	100.0	(50)	100.0	(50)	100.0

$x^2=1.27$ (d.f.=6); not significant

B. Weighted Intensity Scores and Average Intensity Per Interaction

Weighted Intensity Scores*	328	80	79	86	83
Average Intensity Per Interaction	1.64	1.60	1.58	1.72	1.66

* Weighted scores computed by scoring each Level I interaction = 1, each Level II = 2, and each Level III = 3. The number of inter-action incidents = 50 per unit.

Length of interaction was measured in minutes, timed from the beginning of each observed interaction until the interaction was terminated by either participant. Table 4.5 summarizes these results. As can be seen from Section A, Units 3 and 4 had a higher percentage of longer interactions, although results were not statistically significant. These differences were reflected in mean length of interaction times presented in Section B, which shows Unit 3 with the longest average time, followed by Unit 4, Unit 2, and Unit 1.

Participatation in Team Meetings. Since a primary objective of unit management is increased involvement of staff and residents in decision making, appropriate measures of the implementation of unit management in team meetings are resident participation, degree of staff participation, and the degree of (or lack of) control of final decisions by specific individuals. These measures are summarized in Tables 4.6 and 4.7.

Resident and staff participation are summarized in Section A, which presents mean numbers of comments for each participant in each observed meeting, and the percentages of comments made by each participant in each unit. As can be seen, statistically significant variation occurred across units for all categories of participants, although no clear patterns are obvious from these data.[22]

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[22] Supporting Tables in Appendix B provide a detailed breakdown of these results for each participant on each type of comment. As can be seen, most resident participation involved "explanation of present" or "history" comments while other participants most frequently offered "explanation of present case" and "solution" (Unit Managers and Caseworkers) or "additional outcome" comments (See Chapter 3 for descriptions of these types of comments).

TABLE 4.5

LENGTH OF INTERACTIONS BY UNIT

A. Frequency Distribution

Minutes	All Units (f)	%	Unit 1 (f)	%	Unit 2 (f)	%	Unit 3 (f)	%	Unit 4 (f)	%
0-2 minutes	(89)	47.7	(23)	46.0	(25)	50.0	(19)	38.0	(22)	44.9
3-5 minutes	(39)	19.6	(11)	22.0	(10)	20.0	(11)	22.0	(7)	14.3
6 minutes	(71)	32.7	(16)	32.0	(15)	30.0	(20)	40.0	(20)	40.8
TOTALS*	(199)	100.0	(50)	100.0	(50)	100.0	(50)	100.0	(49)	100.0

x^2=3.11 (d.f.=6); not significant

B. Group Means (Minutes)

$\overline{X}$	4.80	4.26	4.28	5.42	5.24
S.D.	4.14	3.70	4.03	4.48	4.28
N	199	50	50	50	49

F=1.11, not significant

* Length of interaction not recorded for one Unit 4 interaction
  incident.

TABLE 4.6

MEAN NUMBER AND PERCENTAGE OF COMMENTS BY
PARTICIPANTS IN TEAM CLASSIFICATION MEETINGS BY UNIT

A. Means, Standard Deviations, and Percentages

Participant		Unit 1 N=50	Unit 2 N=50	Unit 3 N=50	Unit 4 N=50	F/prob.
Resident	$\overline{X}$	8.34	5.08	7.36	6.60	F= 7.97
	SD	4.53	3.16	2.86	2.96	$p \leq .001$
	%	32.2%	26.2%	29.2%	32.3%	
Unit Manager	$\overline{X}$	4.14	2.30	3.02	4.18	F= 4.41
	SD	3.69	1.89	2.61	3.73	$p \leq .005$
	%	16.0%	11.9%	12.0%	20.5%	
Caseworker*	$\overline{X}$	7.24	4.92	4.52	*	F=10.00
	SD	3.69	2.43	3.58		$p \leq .001$
	%	27.9%	25.4%	17.9%		
Classification Assistant	$\overline{X}$	2.12	4.12	5.02	6.02	F=18.53
	SD	2.32	1.97	3.13	3.27	$p \leq .001$
	%	8.2%	21.3%	19.9%	29.5%	
Correctional Officer	$\overline{X}$	0.34	0.00	0.00	0.40	F= 2.96
	SD	1.06	0.00	0.00	1.41	$p \leq .05$
	%	1.3%	0.0%	0.0%	2.0%	
Parole Representative	$\overline{X}$	2.38	0.88	3.36	2.46	F= 6.28
	SD	3.26	1.81	3.15	3.12	$p \leq .001$
	%	9.2%	4.5%	13.3%	12.0%	
Educational Representative	$\overline{X}$	1.38	2.06	1.92	0.78	F= 3.94
	SD	2.06	1.90	2.72	1.42	$p \leq .01$
	%	5.3%	10.6%	7.6%	3.8%	
All Participants	$\overline{X}$	25.94	19.36	25.20	20.44	F= 6.41
	SD	12.30	7.66	9.57	6.46	$p \leq .001$
	%	100.1%	99.9%	99.9%	100.1%	

B. Index of Qualitative Variation**

IQV		90.6%	92.5%	93.9%	90.3%

* Total N for Caseworker = 150; Unit 4 had no Caseworker at the time of data
  collection. This fact requires that comparison of Total Means and IQV for
  Unit 4 with other units must be with caution.

** See Footnote 23, page 100.

These results are not particularly useful, however, because
of variations in total numbers of comments across units. Thus,
although Unit 1 residents averaged significantly more actual
comments then Unit 4 residents, they made a slightly smaller percen-
tage of comments. In terms of percentages of comments, Unit 4
residents were highest, with Unit 1, Unit 3, and Unit 2 following.

Even more relevant, perhaps, then the percentages of resident
comments is the degree to which comments were equally distributed
among participants in each unit's team meetings. Presumably, units
with greater equality in numbers of comments have more democratic
team meetings; certainly, units with greater domination by a few
participants can be said to have less well implemented Unit Manage-
ment principles.

An appropriate measure of the distribution of comments across
participant in such meetings is the Index of Qualitative Variation,[23]
which assesses the ratio of the actual variation to the total

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[23] The Index of Qualitative Variation (Mueller, Schuessler and
Costner, 1970: 174-178) assesses the ratio between the observed
number of differences among a set of items and the maximum
possible number of differences, expressed as a percentage. Thus,
$IQV = \frac{\text{Total Observed Differences}}{\text{Maximum Possible Differences}} \times 100$. The total observed differ-
ences $= \Sigma n_i n_j$, where $i \neq j$, and where n_i=the number in the ith
category; and the maximum possible differences $= \frac{k(k-1)}{2}\left(\frac{n}{k}\right)^2$
where k=the number of categories and n=the total frequency. For
example, given three racial categories with six whites, five
blacks and four hispanics, the maximum number of possible differ-
ences would be $\frac{3(2)}{2}\left(\frac{15}{3}\right)^2 = 75$; while the total observed differences
would be $(6 \times 5)+(6 \times 4)+(5 \times 4)=74$; and the IQV would be $\frac{74}{75} \times 100=98.7\%$.
The IQV can also be computed with percentages rather than
observed frequencies (where n=100).

possible (in percentages). The closer the IQV is to 100%, the more
equally distributed are the comments across participants in the
unit's team meetings; as the percentage approaches 0%, there is
less variation. Table 4.6 (Section B) on page 98 also presents
IQV scores for participation in each unit's team meetings. (computed
from percentages). As can be seen participation was relatively
equal in all units, although unit 3 was most equally distributed,
followed by Unit 2, Unit 1 and Unit 4.

Another indication of the degree of equal participation of
team members is the extent to which the most influential statement
(the solution actually adopted by the team) is distributed across
team members. These results are presented in Table 4.7 on page 101
(note that since no residents or Correctional Officers made most
influential statements these participants were not included in
Table 4.7). Again, these data were converted into IQV scores for
comparison. As can be seen, Unit 3 had the most equal distribution,
followed by Unit 4, Unit 2, and Unit 1.

Summary

The preceeding discussion summarized the results on five
measures of program implementation in terms of informal interaction
and team classification participation. These measures, of course,
were at best only ordinal; and in most cases differences between
groups were not statistically significant. Nevertheless, as the
summary of rankings outlined in Table 4.8 demonstrates a clear
pattern seems to be present.

Unit 3 ranked first on four of the five measures, and was

TABLE 4.7

MOST INFLUENTIAL STATEMENTS FOR EACH PARTICIPANT IN TEAM CLASSIFICATION MEETINGS BY UNIT

A. Frequency Distribution

Participant	All Units (f)	%	Unit 1 (f)	%	Unit 2 (f)	%	Unit 3 (f)	%	Unit 4 (f)	%
Unit Manager	(50)	23.0	(10)	20.0	(7)	14.0	(13)	26.0	(20)	40.0
Caseworker	(77)	38.5	(32)	64.0	(29)	58.0	(16)	32.0		*
Classification Assistant	(48)	24.0	(2)	4.0	(11)	22.0	(11)	22.0	(24)	48.0
Parole Representative	(23)	11.5	(6)	12.0	(1)	2.0	(10)	20.0	(6)	12.0
Educational Representative	(3)	1.5	(0)	0.0	(2)	4.0	(1)	2.0	(0)	0.0
TOTALS**	(201)	100.5	(50)	100.0	(50)	100.0	(51)	102.0	(50)	100.0

B. Index of Qualitative Variation***

	All Units	Unit 1	Unit 2	Unit 3	Unit 4
IQV	91.0%	66.8%	75.1%	96.7%	79.3%

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* There was no Caseworker on Unit 4

** N=51 on Unit 3 because two participants offered identical solution at same time on one instance. Percentages were based on N=50, total N=200 for comparative purposes.

*** See footnote 23, page 99. "All units" IQV was probably artificially increased because of lack of Caseworker on Unit 4.

TABLE 4.8

RANK ORDER OF UNITS ON OBSERVATIONAL MEASURES

	Unit 1	Unit 2	Unit 3	Unit 4
A. Informal Interaction Measures				
1. Weighted Intensity Scores	3	4	1	2
2. Mean Length of Interactions	4	3	1	2
B. Participation Measures				
1. % Resident's Participation	2	4	3	1
2. Participants' IQV	3	2	1	4
3. Most Influential Statement IQV	4	3	1	2
C. TOTAL SCORE	16	16	7	11

first in overall ranking. Unit 2, with three second ranks and one first, ranked second overall. Units 1 and 2, each with one second, two thirds and two fourth place rankings, tied for third overall.

Variations on individual measures reflect the imprecision inevitable in such observational measures, and also undoubtedly reflect areas of strength within each unit. Nevertheless, overall, the final rankings in Table 4.8 would appear to reflect a relatively reliable assessment of the degree that each unit had implemented functional unit management at the time of data collection. These results also appeared consistent with results of the informal observation in Phase I of the participant-observation, summarized in the first part of this paper.[24]

This ranking of units on program implementation, therefore, should provide a useful source of validation for results of institutional climate and resident/staff attitude testing. These results will be reported in the following chapter.

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[24] It is acknowledged, of course, that the program description presented earlier in this chapter was inevitably influenced by these results.

CHAPTER 5

SURVEY OF RESIDENTS AND STAFF

As described in Chapter 3, the survey of residents and staff at the Reformatory was designed to assess institutional climate, staff and resident attitudes about the institution, staff and resident self concept levels, and to provide demographic data on staff and residents. Staff and residents were administered a series of questionnaires to obtain such data. This chapter reports results of the survey analysis.

Description of Residents and Staff

Demographic characteristics are useful to provide a descriptive background on staff and residents at the Reformatory. Results of the resident (Table 5.1 on page 105) and staff (Table 5.2 on page 109) demographic survey will be briefly summarized below.

Resident Demographic Summary. Demographic data on residents was broken down by unit assignment to provide a basis for comparison. Overall, there was little demographic variation among units at the Reformatory.

Incarceration. As can be seen from Table 5.1, approximately seventy per cent of the respondents were serving their first incarceration at the Reformatory. Since, as stated in Chapter 1, the Reformatory serves the state as the one institution housing first-time incarcerated felons, these results are not surprising.

TABLE 5.1

FREQUENCIES AND PERCENTAGES OF RESIDENT DEMOGRAPHIC VARIABLES BY UNIT*

Demographic Variables	Unit 1 N=39 (f)	%	Unit 2 N=31 (f)	%	Unit 3 N=39 (f)	%	Unit 4 N=34 (f)	%	Total N=143 (f)	%
First Incarceration										
Yes	(29)	76.3	(23)	76.7	(23)	59.0	(21)	61.8	(96)	68.1
No	(9)	23.7	(7)	23.3	(16)	41.0	(13)	38.2	(45)	31.9
Number of Prior Incarcerations										
None	(29)	78.4	(23)	82.1	(23)	60.5	(21)	63.6	(96)	70.6
1-2	(8)	21.6	(4)	14.3	(6)	15.8	(9)	27.3	(27)	19.9
3 or more	(0)	0.0	(1)	3.6	(9)	23.7	(3)	9.1	(13)	9.6
Where Incarcerated Before										
None	(28)	77.8	(23)	82.1	(23)	65.7	(21)	67.7	(95)	73.1
Boonville	(3)	8.3	(2)	7.1	(4)	11.4	(2)	6.5	(11)	8.5
Juvenile Camps	(0)	0.0	(0)	0.0	(1)	2.9	(2)	6.5	(3)	2.3
Jails/Workhouses	(3)	8.3	(3)	10.7	(7)	20.0	(3)	9.7	(16)	12.3
Other	(2)	5.6	(0)	0.0	(0)	0.0	(3)	9.7	(5)	3.8
First Time at Algoa										
Yes	(38)	100.0	(30)	96.8	(37)	94.9	(32)	94.1	(137)	96.5
No	(0)	0.0	(1)	3.2	(2)	5.1	(2)	5.9	(5)	3.5
Type of Offense										
Personal	(19)	55.9	(18)	78.3	(12)	40.0	(17)	53.1	(66)	55.5
Property	(10)	29.4	(4)	17.4	(12)	40.0	(9)	28.1	(35)	29.4
Drugs	(5)	14.7	(1)	4.3	(5)	16.7	(5)	15.6	(16)	13.4
Other	(0)	0.0	(0)	0.0	(1)	3.3	(1)	3.1	(2)	1.7
Length of Sentence										
12-24 months	(13)	34.2	(8)	27.6	(15)	39.5	(16)	48.5	(52)	37.7
28-48 months	(13)	34.2	(11)	37.9	(14)	36.8	(8)	24.2	(46)	33.3
60-120 months	(12)	31.6	(10)	34.5	(9)	23.7	(9)	27.3	(40)	29.0
Months Served										
0-3 months	(5)	13.2	(9)	31.0	(9)	23.1	(7)	20.6	(30)	21.4
4-6 months	(12)	31.6	(7)	24.1	(10)	25.6	(11)	32.4	(40)	28.6
7-12 months	(13)	34.2	(8)	27.6	(14)	35.9	(11)	32.4	(46)	32.9
13-42 months	(8)	21.1	(5)	17.2	(6)	15.4	(5)	14.7	(24)	17.1
Age										
17-20 years	(20)	52.6	(21)	70.0	(21)	53.8	(17)	50.0	(79)	56.0
21-24 years	(18)	47.4	(9)	30.0	(18)	46.2	(17)	50.0	(62)	44.0
Race										
White	(27)	71.1	(19)	65.5	(24)	61.5	(25)	73.5	(95)	67.9
Non-White	(11)	28.9	(10)	34.5	(15)	38.5	(9)	26.5	(45)	32.1
Education										
Some Grade School	(0)	0.0	(2)	6.7	(3)	7.7	(2)	5.9	(7)	4.9
Completed Grade School	(2)	5.1	(2)	6.7	(1)	2.6	(1)	2.9	(6)	4.2
Some High School	(27)	69.2	(20)	66.7	(23)	59.0	(18)	52.9	(88)	62.0
Completed High School	(3)	7.7	(5)	16.7	(9)	23.1	(10)	29.4	(27)	19.0
Some College	(7)	17.9	(1)	3.3	(3)	7.7	(3)	8.8	(14)	9.9
Size of Childhood Town										
Rural (under 2,000)	(5)	13.2	(5)	17.2	(5)	12.8	(6)	17.6	(21)	15.0
Small Town (2,000-20,000)	(9)	23.7	(4)	13.8	(9)	23.1	(10)	29.4	(32)	22.9
Small City (20,000-100,000)	(3)	7.9	(4)	13.8	(6)	15.4	(1)	2.9	(14)	10.0
Large City (100,000-250,000)	(7)	18.4	(2)	6.9	(5)	12.8	(3)	8.8	(17)	12.1
Major Metropolitan Area (over 250,000)	(14)	36.8	(14)	48.3	(14)	35.9	(14)	41.2	(56)	40.0

* Frequency totals may not agree due to methods of handling missing data.

For those subjects who had served prior incarcerations, the majority had been incarcerated only one or two times before. Units 3 and 4 showed the highest percentages of prior incarcerations (in fact, nearly one-fourth of Unit 3 residents responded that they had been incarcerated three or more times). For the small percentage of residents who had prior incarcerations, time was spent mostly at "Boonville"[1] or in jails and workhouses.

Offense. Over half of the respondents were serving time for personal crimes such as robbery, assault, or homicide; while nearly one-third were convicted of property crimes such as burglary, larceny, or auto theft. Relatively few respondents indicated that they were convicted of a drug related charge or for another type of offense.

Sentence/Served. An analysis of the length of sentence imposed and the number of months already served at MIR by survey respondents showed little variation among units. For the total resident population, 37.7% were sentenced to one to two years; 33.3% to two to five years; and 29.0% to five to ten years. Most residents had served less than one year; only 17.1% had served over twelve months at the Reformatory.

Age. The breakdown of residents among units at MIR by age revealed some differences. Although Units 1, 3 and 4 were similar in having approximately equal percentages of residents younger and older than twenty, Unit 2 residents were younger with

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[1] Boonville is the Missouri State Training School for Boys.

70% of the residents under age twenty.

Race/Education. The racial breakdown of residents demon-
strated that two-thirds (67.9%) of the residents at MIR were
white, and that there was little racial variance among units.[2]
Educational demography of residents across units, again, showed
no differences. The greatest number of subjects had completed
some high school, though receiving no diploma.

Size of Childhood Community. Interestingly, most resi-
dents at MIR grew up in either rural areas or small towns (37.9%)
or major metropolitan areas (40.0%), and there was little varia-
tion by units. A smaller proportion of residents (less than 25%)
came from cities of populations between 20,000 and 250,000.

Staff Demographic Summary. To simplify reporting, staff positions
were combined into five categories: management, security, profes-
sional, clerical, and miscellaneous. Management staff included
the Superintendent and Assistant Superintendents, unit managers,
and records and training personnel; security staff included all
correctional officers; professional staff included caseworkers,
classification assistants, probation and parole officers, and
vocational and educational employees; clerical staff included all
clerks, stenographers, typists, and data entry personnel; and the

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[2] Overall, the Division of Corrections' inmate population is
approximately 50% white (Missouri Division of Corrections,
1978). Missouri statute mandates that all first-time, male
adult felons be sent to MIR; perhaps indicating that minority
offenders are typically not first-time offenders and, more
often, have prior incarcerations.

miscellaneous category included the Chaplain, librarian, nurses,
technical services employees, and all other staff. Results of
the staff demographic survey (see Table 5.2) revealed that there
was very little variation by job category at the Reformatory.

Years of Service. Data related to years of service includ-
ed the number of years a staff member had held his/her position,
the number of years he/she had worked overall at MIR, and the
number of years he/she had worked for the Division of Corrections.
Overall, findings for years of service by job position revealed
few differences.

Half of the management staff reported holding their position
and working at MIR for less than one year, although (not surpris-
ingly) a higher percentage had worked longer for the Division of
Corrections. Clerical staff also indicated working fewer years
(over one-half responded working 0-1 years) in their job position
in comparison to other job categories.

Shift. The great majority (70%) of Reformatory staff
members worked the "day" shift. In fact, as would be expected,
100% of the management, professional, and clerical staff worked
the "day" shift. The only job category revealing substantial
percentages working "morning" and "evening" shifts was security.

Unit. Approximately 70% of the staff replied that they
were not members of a unit. As might be predicted, none of
certain categories of staff (such as clerical) were members of
a unit. Security staff and miscellaneous staff also had few

TABLE 5.2
FREQUENCIES AND PERCENTAGES OF STAFF DEMOGRAPHIC VARIABLES BY JOB POSITION*

Demographic Variables	Management Staff N=8 (f)	%	Security Staff N=59 (f)	%	Professional Staff N=29 (f)	%	Clerical Staff N=11 (f)	%	Miscellaneous Staff N=13 (f)	%	Total Staff N=120 (f)	%
Years in Position												
0-1 years	(4)	50.0	(22)	38.6	(10)	34.5	(6)	54.5	(4)	30.8	(46)	39.0
2-4 years	(3)	37.5	(20)	35.1	(7)	24.1	(3)	27.3	(4)	30.8	(37)	31.4
3 or more years	(1)	12.5	(15)	26.3	(12)	41.4	(2)	18.2	(5)	38.5	(35)	29.7
Years at Algoa												
0-1 years	(4)	50.0	(21)	36.8	(8)	27.6	(6)	60.0	(5)	38.5	(44)	37.6
2-4 years	(1)	12.5	(17)	29.8	(11)	37.9	(1)	10.0	(2)	15.4	(32)	27.4
5 or more years	(3)	37.5	(19)	33.3	(10)	34.5	(3)	30.0	(6)	46.2	(41)	35.0
Years in Division												
0-1 years	(1)	12.5	(19)	33.3	(8)	28.6	(3)	27.3	(4)	30.8	(35)	29.9
2-4 years	(2)	25.0	(17)	29.8	(7)	25.0	(4)	36.4	(3)	23.1	(33)	28.2
5 or more years	(5)	62.5	(21)	36.8	(13)	46.4	(4)	36.4	(6)	46.2	(49)	41.9
Shift Worked												
Morning	(0)	0.0	(14)	23.7	(0)	0.0	(0)	0.0	(0)	0.0	(14)	11.7
Day	(8)	100.0	(24)	40.7	(29)	100.0	(11)	100.0	(12)	92.3	(84)	70.0
Evening	(0)	0.0	(21)	35.6	(0)	0.0	(0)	0.0	(1)	7.7	(22)	18.3
Member of Unit												
Yes	(4)	50.0	(17)	28.8	(13)	44.8	(0)	0.0	(1)	7.7	(35)	29.2
No	(4)	50.0	(39)	66.1	(16)	55.2	(11)	100.0	(12)	92.3	(82)	68.3
Age												
21-29 years	(0)	0.0	(12)	20.7	(4)	14.3	(3)	27.3	(1)	7.7	(20)	16.9
30-39 years	(4)	50.0	(14)	24.1	(7)	25.0	(4)	36.4	(5)	38.5	(34)	28.8
40 years and over	(4)	50.0	(32)	55.2	(17)	60.7	(4)	36.4	(7)	53.8	(64)	54.2
Sex												
Male	(8)	100.0	(57)	98.3	(25)	89.3	(0)	0.0	(11)	84.6	(101)	85.6
Female	(0)	0.0	(1)	1.7	(3)	10.7	(11)	100.0	(2)	15.4	(17)	14.4
Race												
White	(8)	100.0	(55)	94.8	(25)	89.3	(11)	100.0	(12)	92.3	(111)	94.1
Non-White	(0)	0.0	(3)	5.2	(3)	10.7	(0)	0.0	(1)	7.7	(7)	5.9
Education												
Some Grade School	(0)	0.0	(1)	1.7	(0)	0.0	(0)	0.0	(0)	0.0	(1)	0.8
Completed Grade School	(0)	0.0	(10)	17.2	(1)	3.6	(0)	0.0	(0)	0.0	(11)	9.3
Some High School	(0)	0.0	(8)	13.8	(2)	7.1	(1)	9.1	(3)	23.1	(14)	11.9
Completed High School	(1)	12.5	(26)	44.8	(3)	10.7	(5)	45.5	(2)	15.4	(37)	31.4
Some College	(2)	25.0	(11)	19.0	(3)	10.7	(4)	36.4	(1)	7.7	(21)	17.8
Bachelor's Degree	(0)	0.0	(1)	1.7	(2)	7.1	(0)	0.0	(0)	0.0	(3)	2.5
Some Graduate School	(4)	50.0	(0)	0.0	(12)	42.9	(0)	0.0	(4)	30.8	(20)	16.9
M.A./Ph.D.	(1)	12.5	(1)	1.7	(5)	17.9	(1)	9.1	(3)	23.1	(11)	9.3
Size of Childhood Town												
Rural (under 2,000)	(2)	25.0	(28)	48.3	(13)	46.4	(5)	45.5	(4)	30.8	(52)	44.1
Small Town (2,000-20,000)	(1)	12.5	(11)	19.0	(3)	10.7	(3)	27.3	(2)	15.4	(20)	16.9
Small City (20,000-100,000)	(5)	62.5	(10)	17.2	(6)	21.4	(0)	0.0	(3)	23.1	(24)	20.3
Large City (100,000-250,000)	(0)	0.0	(1)	1.7	(2)	7.1	(0)	0.0	(2)	15.4	(5)	4.2
Major Metropolitan Area (over 250,000)	(0)	0.0	(8)	13.8	(4)	14.3	(3)	27.3	(2)	15.4	(17)	14.4

* Frequency totals may not agree due to methods of handling missing data. Total N for staff equals 120 (rather than 134) when broken down by job category due to the failure of 14 staff respondents to answer the portion of the survey identifying job classification.

members of units as well.[3] The only category revealing a substantial percentage (50%) of unit members was management staff, the category including unit managers.

Age. Percentages of personnel in the "40 and over" category were highest among all staff positions at the Reformatory. All job categories were represented within each age grouping except management staff, where half of the subjects were ages 30-39 years and half were 40 years and over.

Sex. Overall, most of the MIR staff were male. Obvious variation by job position did exist; for example, all of the clerical staff were female. In all other job categories, at least 80% of the respondents were male, and all of the management staff were males. The variation for sex by job position was not particularly surprising in view of the fact that the Reformatory represents an adult, male institution. This alone should account for higher percentages of males in categories like security (98.3%), for example.

Race. White staff respondents greatly outnumbered non-white respondents. Management and clerical staff respondents were all white; and only security, professional and miscellaneous staff revealed any percentages of non-white respondents, although all were very low.

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[3] Although an ideal functional unit management program would include security staff as part of their unit team, the decision to participate in team meetings remains optional for correctional officers at MIR; thus, this may explain the low percentage of security personnel indicating that they were unit members.

Education. Very few staff respondents had not completed
at least some years of high school, and 78% indicated that they
had completed high school. Nearly half of the staff respondents
had acquired some college credits, and over one-fourth had re-
ceived a bachelor's degree and had done some graduate work.
Almost ten per cent of the respondents, in fact, had received a
graduate degree.

Educational demography revealed predictable variation by
job position for staff respondents at the Reformatory. Higher
percentages of these completing high school or less were common
among job categories like security and clerical. The manage-
ment and professional job categories, of course, reflected the
highest percentages for completing college coursework.

Size of Childhood Community. The majority of all staff
respondents at MIR indicated that they grew up in either rural
areas and small towns or cities of less than 100,000 population.
There was no significant variation by job category. Only cleri-
cal staff reflected a substantial minority (27.3%) who grew up
in a major metropolitan area.

Conclusions from Demographic Data. The preceeding results offer-
ed few surprises, reflecting a predictable pattern of young,
typically first-time offenders, often minorities and often from
urban areas, commonly supervised by white male staff from rural
areas. If there were surprises, it was that percentages of
urban and minority residents was not higher.

This type of resident-staff disparity is quite common, of
course, in rural correctional institutions in states with larger

urban populations; and obvious problems exist when cultural or
language barriers exist. Such problems may work against
effective implementation of a program like functional unit
management; but conversely, of course, such problems may be
eased as a result of an effective unit management program.

Institutional Climate

The Correctional Institutions Environment Scale (CIES)
was used in this study to assess institutional climate as per-
ceived by residents and staff at the Reformatory. As described
in Chapter 3, items on the CIES are grouped into nine subscales
which assess "Relationship" dimensions (Involvement, Support,
Expressiveness), personal growth or "Treatment" dimensions (Auton-
ony, Practical Orientation, Personal Problem Orientation) and
"System Maintenance" dimensions (Order and Organization, Clarity,
and Staff Control). Mean resident and staff scores were calcu-
lated for each subscale for each unit or staff group, and were
converted to profiles for clearer data presentation.

Profile analysis allowed evaluators to determine the
extent to which the Reformatory was above or below average, as
perceived by the respondents, on each of the nine dimensions,
compared to the perceptions of residents and staff in other
institutions across the country.[4] Since primary uses of the

4 CIES profile sheets and standard score conversion tables
(based on resident and staff normative data samples) were
developed by Rudolf H. Moos and his associates. For a detailed
explanation, see Correctional Institutions Environment Scale
Manual, Consulting Psychologists Press, Inc., Palo Alto, CA,
1974.

CIES have been to "derive detailed descriptions of correctional units, to compare resident and staff perceptions, to assess program changes over time, or to contrast different units with each other . . ." (Moos, 1974), the following profiles were generated to identify staff and resident contrasts and inter-unit differences at the Reformatory.

Resident and Staff Profiles. Figure 5.1 graphically compares resident and staff standardized scores on the nine CIES subscales.[5] As can be seen, staff were consistently more positive in their assessment of the Reformatory than residents, and t-test results revealed that staff means were significantly higher for all CIES subscales (Appendix B). Residents tended to perceive the institution as about average, based on national norms (as did staff; see Figure 5.3), except on the Program Clarity subscale. Both staff and residents at MIR were quite positive in their perceptions of Program Clarity, indicating that both groups believe that a resident knows what to expect in the day-to-day routine of his program, and that program rules and procedures are clearly defined.

Although residents and staff followed a similar profile pattern overall for the nine CIES subscales, areas of contrast were found between the two groups. For example, residents and staff were furthest apart in their perceptions of Support on

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[5] For comparative purposes, staff results were plotted on resident norms. When plotted against staff norms (see Figure 5.3) the staff profile would also place MIR near the normative average.
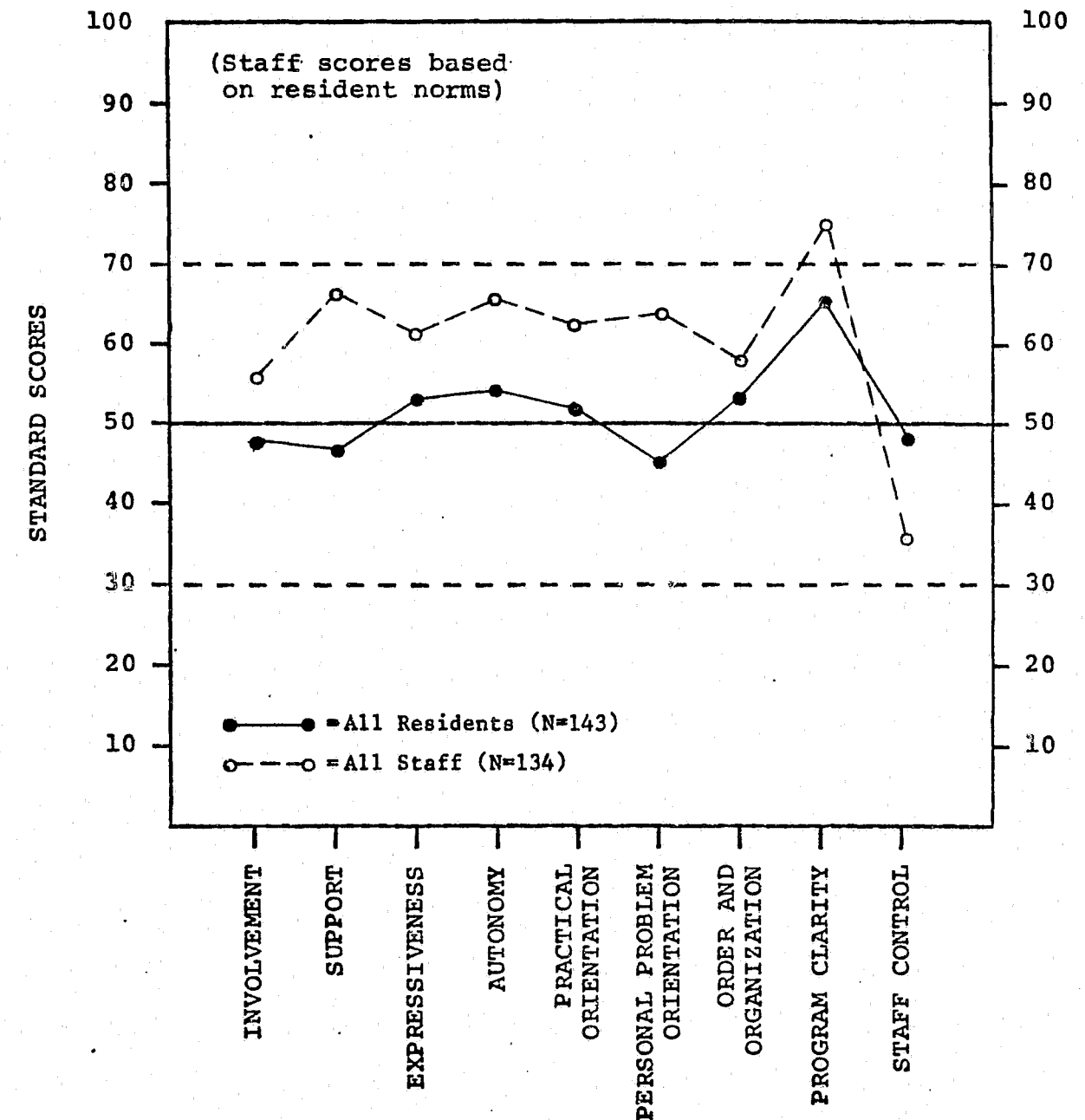
Figure 5.1. CIES Profiles for Residents and Staff at the Missouri Intermediate Reformatory

the Relationship dimension, indicating that residents saw less
adequate supportiveness from either staff or other residents
at the institution than did the staff respondents; and on Person-
al Problem Orientation in the Treatment dimension, where residents
apparently perceived a lack of encouragement to be concerned with
their personal problems and staff saw themselves as providing
more encouragement for concern.

Residents and staff were closest in their profiles on the
System Maintenance dimension subscales. Both groups agreed very
closely on the Order and Organization and Program Clarity sub-
scales, and differed most on Staff Control, implying mutual
agreement that the institution is being run in a clear, organ-
ized manner (although there is some disagreement on the amount
of staff control being exercised).[6]

Unit Profiles. Figure 5.2 summarizes CIES residents'
results for each of the four units at the Reformatory. Resi-
dent profile findings revealed interunit differences on each
of the nine CIES subscales except Expressiveness and Staff
Control, showing statistically significant variations at the .05
level or greater.[7]

All units were above average in their perceptions of
Program Clarity on the System Maintenance dimension. In fact,

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[6] Note that lower scores on the "staff control" dimension reflect
more positive attitudes.

[7] A one-way Analysis of Variance was performed to measure the
differences in mean scale scores among units; see data in
Tables included in Appendix B.
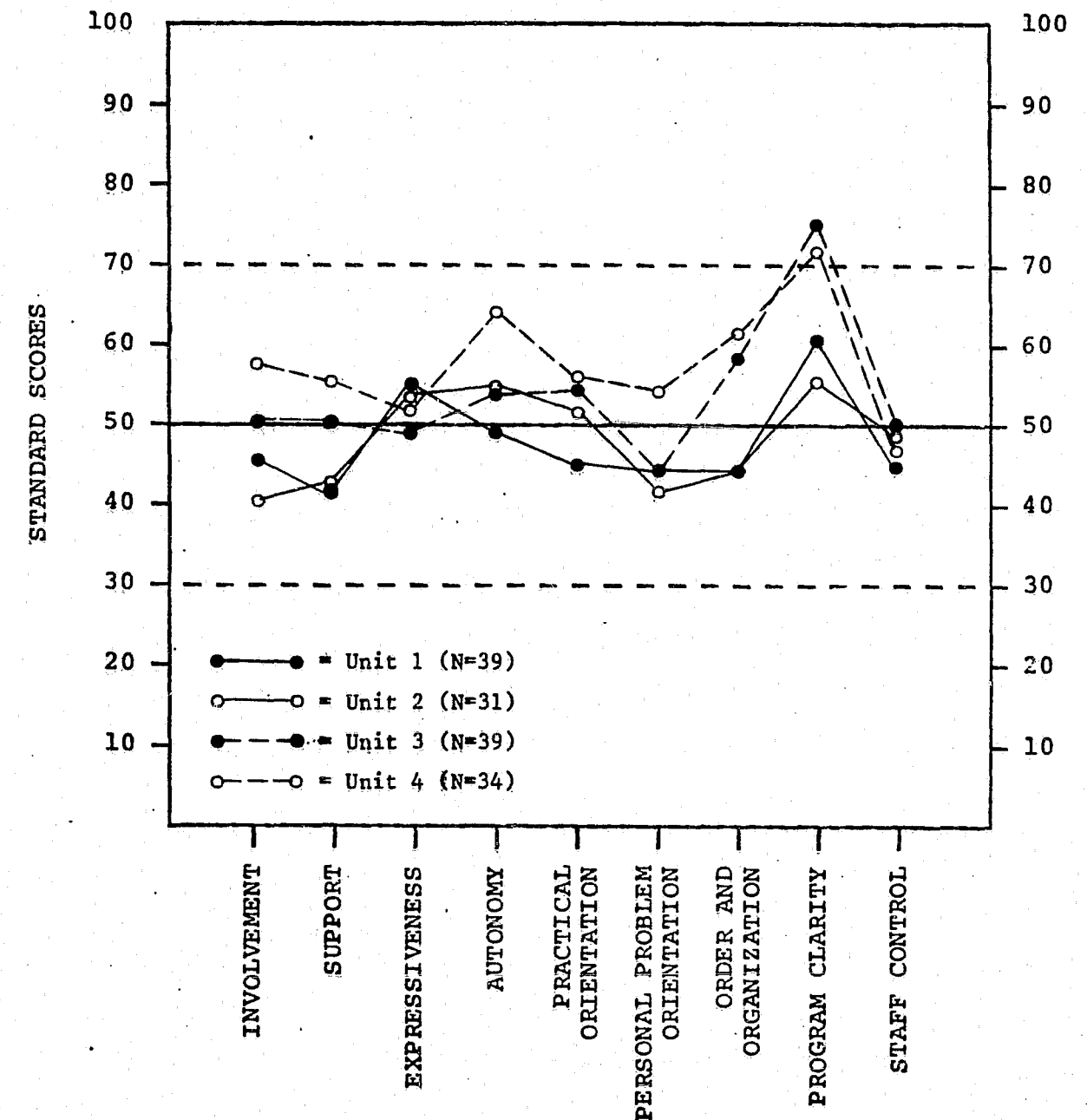
Figure 5.2. CIES Profiles (Residents) for the
Units at the Missouri Intermediate Reformatory

Unit 3 and Unit 4 perceptions were far above average and outside what could be defined as the normal range.[8] On the Expressiveness and Staff Control subscales, where there existed no significant unit variation, all unit standardized scores fell at or near the average for adult male institutions (although units were more often slightly above average on the Expressiveness subscale and more often slightly below average on Staff Control).

The overall analysis of interunit differences further indicated that Unit 3 and Unit 4 perceptions were most positive among units, while Unit 1 and Unit 2 perceptions were lowest. Although Unit 3 tended to be similar to an "average institution" on all subscales except Personal Problem Orientation, Order and Organization, and Program Clarity, these respondents were particularly positive in the System Maintenance dimension subscales.

Staff Profiles. Resident and staff standardized scores were plotted against resident normative data samples in the previous sections in order to facilitate the direct comparison of resident-staff and interunit perceptions of the functional unit management program at the Reformatory. The following summary of staff profiles, however, includes comparisons of MIR staff scores plotted against staff norms. As might be expected, profiles reflecting staff scores standardized on resident norms are higher than profiles reflecting staff scores standardized on staff norms, because staff groups consistently tend to see institutions more favorably than do resident groups.

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[8] Between the 30th and 70th percentiles of programs.

Figure 5.3 provides CIES profiles for "all staff" versus unit staff. The groups were closest in their perceptions of Expressiveness and Autonomy, although they followed similar profile patterns throughout. Unit staff were more positive overall and were especially high on the Program Clarity subscale. "All staff" respondents viewed the institution as somewhat below average in Involvement, Support, Practical Orientation, and Order and Organization.

Unit Staff Versus Non-Unit Staff. Figure 5.4 depicts CIES results for unit staff versus non-unit staff, plotted against staff norms. In this particular analysis, unit staff were compared only to those staff respondents who indicated that they were not members of a unit. Generally, the CIES patterns in Figure 5.4 were much the same as those for "all staff," as shown in Figure 5.3. Unit staff perceptions were significantly more positive than non-unit staff (Appendix B); while non-unit staff perceptions were somewhat lower than the perceptions of "all staff" respondents.

Staff Profiles by Job Position. CIES profiles of MIR staff broken down by job position are presented in Figure 5.5. Once again, staff scores were plotted against the staff normative data sample for comparative purposes. Findings indicated that management staff were well above average on all nine subscales except Staff Control, where they scored close to the national average for adult male institutions. However, Analysis of Variance revealed no statistically significant differences among
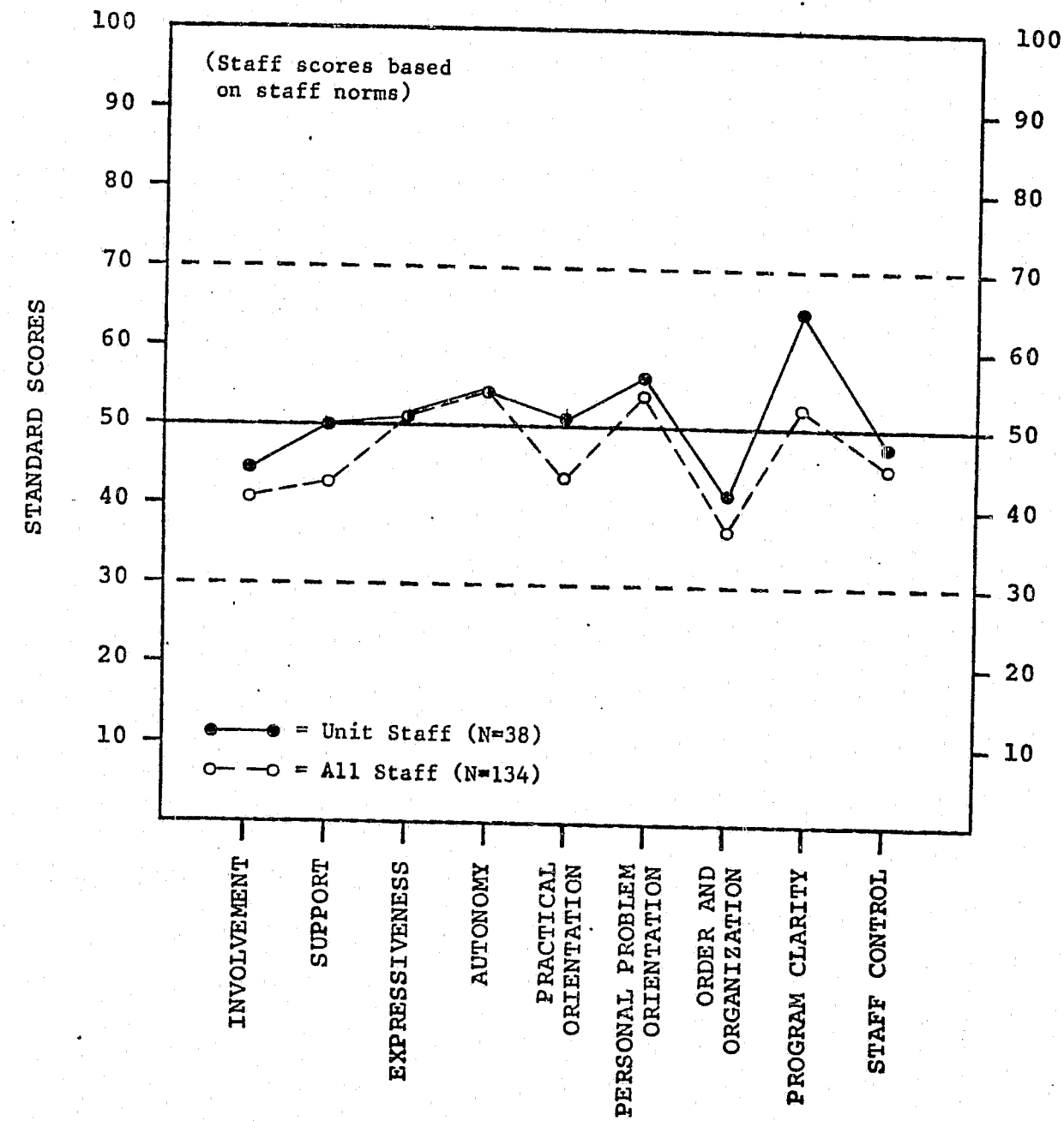
Figure 5.3. CIES Profiles of All Staff Versus
Unit Staff at the Missouri Intermediate Reformatory
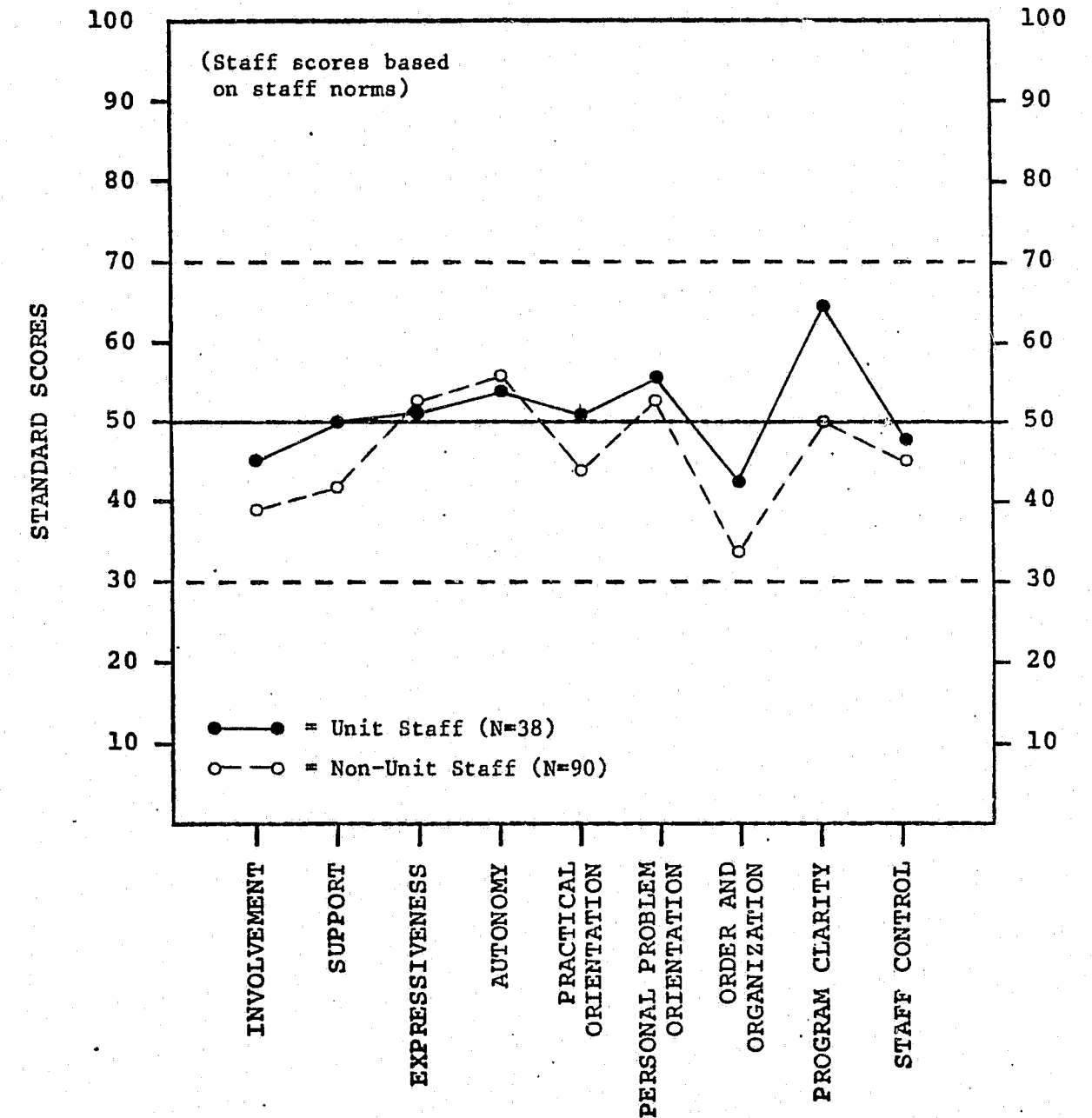
Figure 5.4. CIES Profiles of Unit Staff Versus
Non-Unit Staff at the Missouri Intermediate Reformatory
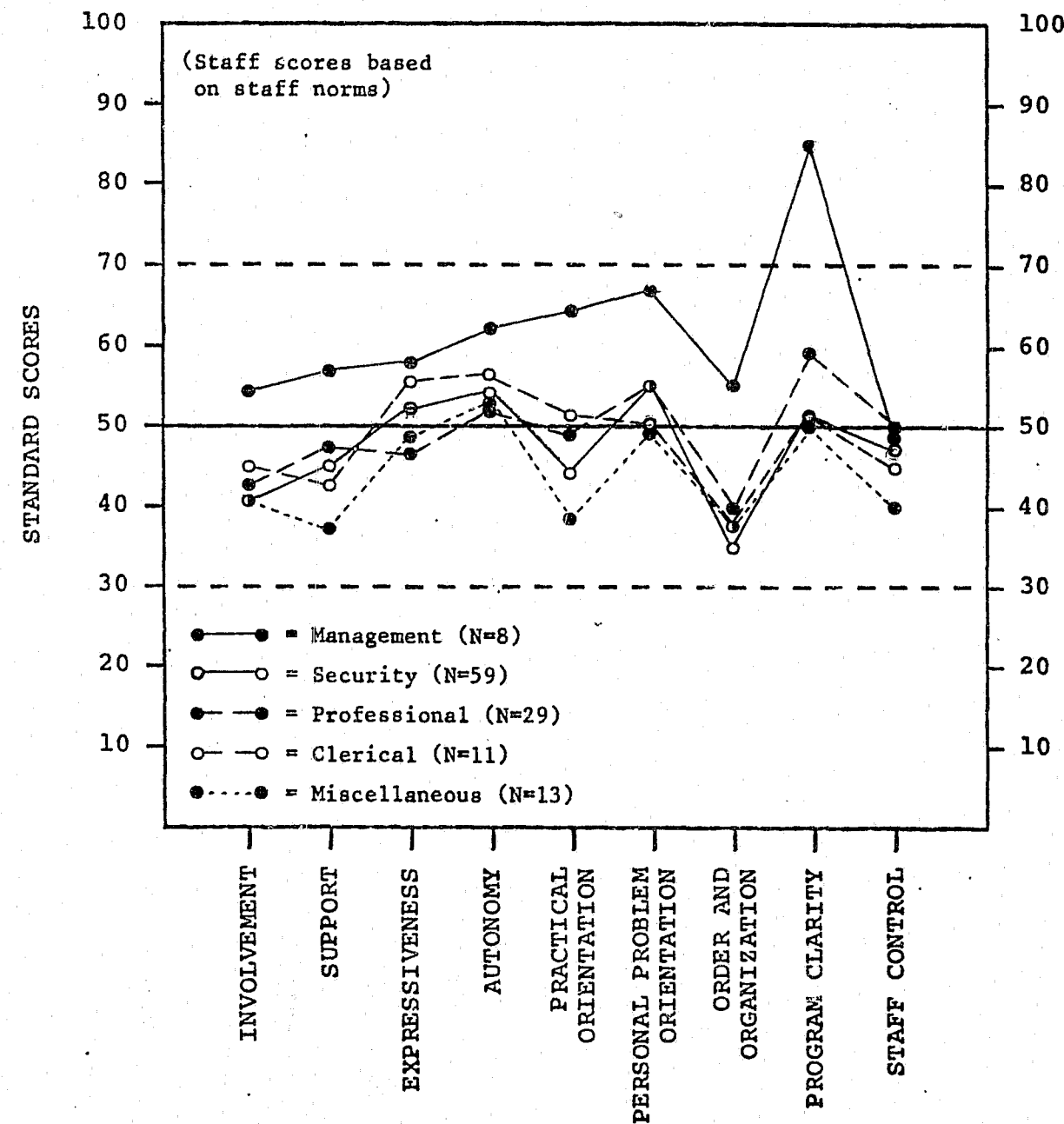
Figure 5.5. CIES Profiles of Staff Members by Job Position at the Missouri Intermediate Reformatory

staff groupings for the nine CIES subscales[9] (Appendix B).

All staff groups other than management were below average on the Involvement, Support, Order and Organization, and Staff Control subscales. In fact, most staff groups were below average on all subscales except Expressiveness, Autonomy, and Program Clarity. As would be expected, management staff followed the same profile pattern as did unit staff[10] (see Figure 5.4), though management staff was slightly more positive; and the other staff groups selected by job position followed a similar profile pattern as did the total staff population presented in Figure 5.3. These findings possibly reflect unit and management staff's enhanced familiarity with functional unit management and their deeper involvement in institutional programs and activities.

Conclusions on Institutional Analysis. Both staff and residents (compared against their own national norms) tended to see MIR about the same as did residents and staff of "average" adult male institutions nationally. Staff were, however, more positive than residents (as was the national average).

The most revealing finding was a consistent and surprising pattern showing residents from Units 3 and 4 as more positive about the institution than were residents from Units 1 and 2. These findings may appear more important when examined in the light of participant-observation findings reported in Chapter 4.

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[9] Probably because the size of some of the staff groups, such as management, was quite small.

[10] Of course, unit managers were included in both categories.

Attitudes About the Institution

The Resident Attitude Questionnaire (RAQ) and Staff Attitude Questionnaire (SAQ) were designed to elicit staff and resident attitudes towards specific aspects of functional unit management at the Missouri Intermediate Reformatory. Items on the RAQ and SAQ were grouped into five subscales assessing "Satisfaction with the Institution", "Satisfaction with Unit Processes", "Satisfaction with Staff", "Satisfaction with Treatment Programs", and "Satisfaction with Unit Conditions". Mean resident and staff scores were calculated for each subscale and the total scale for comparative purposes.

Resident Attitudes. Mean RAQ scale scores are compared across units at the Reformatory in Table 5.3. As can be seen, results reveal significant differences among units (at the $p \leq .001$ level) for all subscales except "Satisfaction with Treatment Programs".

The comparison of mean scores among units on the RAQ parralleled CIES subscales results for residents, in that Unit 1 and Unit 2 residents' attitudes were lower and Unit 3 and 4 residents' attitudes were much higher. In fact, Unit 4 residents had the highest mean scores for each subscale among the units. Unit 3 results were also fairly positive on all RAQ subscales in comparison to Units 1 and 2, being close to a full standard deviation higher than Units 1 and 2 on each subscale except "Satisfaction with Treatment Programs".[11]

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[11] This subscale showed relatively less satisfactory results (cont.)

TABLE 5.3

GROUP MEAN SCORES ON RESIDENT
ATTITUDE QUESTIONNAIRE BY UNIT

VARIABLES[1]	TOTAL RES. POPULATION N=143	UNIT 1 N=39	UNIT 2 N=31	UNIT 3 N=39	UNIT 4 N=34	SIGNIFICANCE F
Satisfaction with Institution						
$\overline{X}$	13.42	11.62	11.45	14.67	15.85	11.44***
SD	4.25	4.27	4.04	3.82	3.13	
Satisfaction with Unit Processes						
$\overline{X}$	12.60	11.33	10.65	13.51	14.79	8.23***
SD	4.20	4.44	3.24	3.97	3.73	
Satisfaction with Staff						
$\overline{X}$	17.18	15.10	15.19	18.56	19.79	7.60***
SD	5.47	5.42	5.38	4.99	4.65	
Satisfaction with Treatment Programs						
$\overline{X}$	5.98	5.44	6.00	6.05	6.50	1.44
SD	2.21	2.33	2.21	1.96	2.30	
Satisfaction with Unit Conditions						
$\overline{X}$	6.29	5.44	5.10	7.00	7.53	12.95***
SD	2.16	2.34	2.10	1.67	1.46	
RAQ TOTAL SCORE						
$\overline{X}$	55.47	48.92	48.39	59.79	64.47	12.10***
SD	15.11	15.45	13.79	12.42	12.38	

[1] The scale range for "Satisfaction with Institution" and "Satisfaction with Unit Processes" is 5-25; for "Satisfaction with Staff", the range is 7-25; and the range for "Satisfaction with Treatment" and "Satisfaction with Unit Conditions" is 2-10.

*$p \leq .05$; **$p \leq .01$; ***$p \leq .001$.

Staff Attitudes. Table 5.4 summarizes group mean results broken down by job category for MIR staff. No significant differences among job categories were found on either the five SAQ subscales or for the total scale. Here again, SAQ results paralleled CIES breakdown results for staff at MIR, suggesting that staff attitudes at the Reformatory are relatively consistent across job categories.

Comparisons of RAQ and SAQ Results. Overall, the assessment of staff and resident attitudes at MIR using the RAQ and SAQ scales reaffirmed the finding that staff attitudes are more positive than resident attitudes, as can be seen in Table 5.5. The difference in mean RAQ and SAQ scores, assessed via a t-test,[12] demonstrated that staff scores were significantly higher than resident scores at the $p \leq .001$ level.

Conclusions about Institutional Attitudes. Since no normative data exist for RAQ or SAQ (developed for this evaluation) little can be concluded about the relative positiveness of the resident and staff attitudes about the Reformatory. These results, however, do support other findings of this evaluation that Unit 3 and 4 residents perceive the institution more favorably; that staff as

than did the rest of the RAQ (and SAQ). This may have been because there were only two items in the subscale, providing for little possible variation; or because there was relatively little treatment programming at the Reformatory.

[12] The t-test assesses the statistical likelihood that two group mean differences could have occurred by chance. Although the RAQ and SAQ differed slightly, they were actually equivalent, with variations in wording only to facilitate communication of the survey instruments.

TABLE 5.4

GROUP MEAN SCORES ON STAFF ATTITUDE QUESTIONNAIRE BY JOB CATEGORY

VARIABLES[1]	TOTAL STAFF POPULATION N=120	MANAGEMENT N=8	SECURITY N=59	PROFESSIONAL N=29	CLERICAL N=11	MISCELLANEOUS N=13	SIGNIFICANCE* F
Satisfaction with Institution							
X̄	16.69	16.75	16.69	16.52	16.36	17.31	.11
SD	4.01	3.99	3.72	4.01	6.27	3.50	
Satisfaction with Unit Processes							
X̄	16.58	18.37	16.07	17.41	15.64	16.77	1.06
SD	4.11	4.72	3.67	3.94	5.59	4.57	
Satisfaction with Staff							
X̄	22.70	23.12	22.95	21.76	22.36	23.69	.49
SD	4.73	6.45	4.62	4.62	4.37	5.01	
Satisfaction with Treatment Programs							
X̄	7.24	7.25	7.34	6.69	8.18	7.23	1.41
SD	1.85	1.91	1.84	1.89	1.08	2.13	
Satisfaction with Unit Conditions							
X̄	6.80	6.87	6.88	6.41	6.91	7.15	.54
SD	1.72	2.47	1.73	1.68	1.30	1.63	
SAQ TOTAL SCORE							
X̄	70.02	72.37	69.93	68.79	69.45	72.15	.21
SD	13.37	17.38	12.71	13.30	13.92	15.15	

[1] The scale range for "Satisfaction with Institution" and "Satisfaction with Unit Processes" is 5-25; for "Satisfaction with Staff" the range is 7-25; and the range for "Satisfaction with Treatment" and "Satisfaction with Unit Conditions" is 2-10.

*Results were not statistically significant.

TABLE 5.5

T-TEST FOR RESIDENT AND STAFF MEAN SCALE SCORES[2]

VARIABLES[1]	RESIDENTS N=143	STAFF N-120	SIGNIFICANCE t
Satisfication with Institution			
$\overline{X}$	13.42	16.69	6.41***
SD	4.25	4.01	
Satisfaction with Unit Processes			
$\overline{X}$	12.60	16.58	7.74***
SD	4.20	4.11	
Satisfaction with Staff			
$\overline{X}$	17.18	22.70	8.79***
SD	5.47	4.73	
Satisfaction with Treatment Programs			
$\overline{X}$	5.98	7.24	7.41***
SD	2.21	1.85	
Satisfaction with Unit Conditions			
$\overline{X}$	6.29	6.80	2.12**
SD	2.16	1.72	
ATTITUDE QUESTION-NAIRE TOTALS			
$\overline{X}$	55.47	70.02	8.27***
SD	15.11	13.37	

[1] The scale range for "Satisfaction with Institution" and "Satisfaction with Unit Processes" is 5-25; for "Satisfaction with Staff" the range is 7-25; and the range for Satisfaction with Treatment" and "Satisfaction with Unit Conditions" is 2-10.

[2] Due to the failure of 14 staff respondents to complete the job portion of the survey, total N for staff broken down by job category equals 120. However, scale score analysis for the total staff N of 134 revealed a $\overline{X}$ of 68.69 and a SD of 14.18; t=7.51; p≤.001.

* p≤.05; **p≤.01; ***p≤.001.

a whole perceive the institution more positively than do residents as a whole; and that there is little variation in staff attitudes across staff groups.

Self Concept

As described in Chapter 3, resident and staff self concept was assessed by the Tennessee Self Concept Scale (TSCS). The TSCS measures eight aspects (or subscales) or self perception, as well as a total self concept score. In addition, the TSCS has an internal validator scale, the "self-criticism" scale, designed to identify overly defensive respondents.

Mean staff and resident scores for all TSCS scales were computed for all subgroups, and are presented in Appendix B. TSCS results have been summarized in profile form for clearer data presentation in Figure 5.6. The profile is based on normative data provided by the developer (Fitts, 1965), based on a variety of subject populations throughout the country. This profile, therefore (unlike the CIES), is not based on adult male prison populations, and interpretations must bear that in mind.

Staff and Resident Profile. Figure 5.6 presents the total staff and total resident profiles for the institution. As can be seen, profiles are remarkably consistent for the two groups. Staff tended to have more positive self-concept scores (except for "Family" self scores), and were slightly less self-critical. Because of large group size, most of the mean score differences were statistically significant, although the profile

TENNESSEE SELF CONCEPT SCALE
PROFILE SHEET*
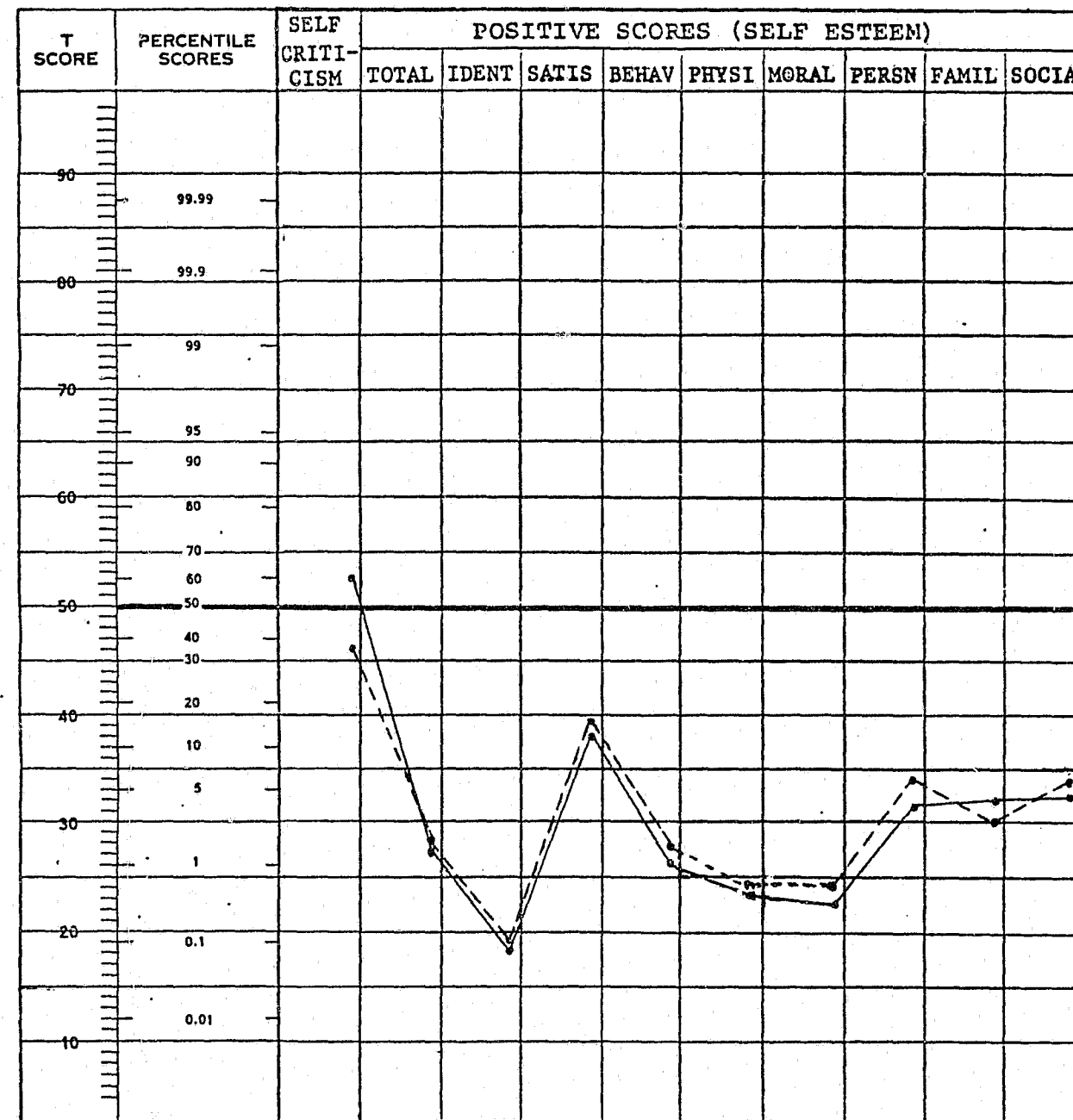
●———● = All Residents (N=143)
●— —● = All Staff (N=134)

Figure 5.6. TSCS Profiles of Staff and Residents
at the Missouri Intermediate Reformatory

* Adapted from Tennessee Self Concept Scale, William H. Fitts, 1965,
Published by Counselor Recordings and Tests, Nashville, Tennessee

demonstrates that differences were not great. Two striking observations stand out: both staff and residents were about normal on self-criticism, suggesting no undue defensiveness; and both groups had very poor self concepts overall.

We had previously observed that there was little reason to expect unit operations to have significant impact on individual self concept (footnote 10, Chapter 3); and results summarized in Appendix B support that expectation. No significant variations were observed across the four units for residents; and although significant variations were found for three subscales (and self-criticism) among staff groups, no particular pattern could be discerned.

Conclusions on Self Concept. The most obvious finding regarding the self concept of both staff and residents in the institution is that it is quite low. Overall, we must conclude that the Reformatory is a most depressed place. We hasten to emphasize, however, that MIR is not necessarily different in this regard than other prisons. In fact, profiles presented elsewhere by the test developers (Fitts, 1965) are not remarkably different than the one presented here. Apparently all prisons are depressed environments (hardly a surprising idea); and as we previously suggested, it is most unlikely that variations across subunits of the prison would have any material effect in overcoming that depression.

Locus of Control

The Internal-External Scale (I-E) was used to assess per-

ceptions of personal control since a primary purpose of unit management was to increase staff and resident involvement in decision-making. We previously noted, however (footnote 11, Chapter 3), that we doubted that any variations across units would be likely to materially affect such self-perceptions which have been developed over a lifetime of socialization.

Our results, summarized in Tables 5.6 and 5.7 reaffirm that expectation. As can be seen, resident I-E scores show no significant variation across units, although Unit 3 and 4 scores were slightly less external (that is, Unit 3 and 4 residents perceived themselves to have slightly more control than did Unit 1 and 2 residents). Staff groupings did show sizable, and almost statistically significant, variations in predictable directions: management staff perceived the most control, and clerical and security workers perceived the least. Overall, residents were significantly more externally oriented than staff[13] (hardly a surprising finding in view of the incarcerated status of the residents). Staff scores are near or slightly below (slightly more internal) normative scores reported for the I-E scale (Rotter, 1966) while resident scores are above most normative groups' means (slightly more external). These results fall in predictable directions.

Conclusions from Locus of Control. No surprising findings resulted from the I-E scale. Staff perceived that they had more control than residents and unit variations had little effect on

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[13] $t = 5.92$, $p \leq .001$.

TABLE 5.6

RESIDENTS' INTERNAL-EXTERNAL SCORES BY UNIT

	TOTAL INST.	UNIT 1	UNIT 2	UNIT 3	UNIT 4
$\overline{X}$	10.29	10.41	11.68	9.82	9.44
SD	4.19	3.84	4.41	4.79	3.41
N	143	39	31	39	34

F=1.80, n.s.

Scale Range = 0-23

TABLE 5.7

STAFF INTERNAL-EXTERNAL SCORES BY JOB CATEGORY

	TOTAL INST.	MGMT.	SECUR.	PROFSL.	CLER.	MISC.
$\overline{X}$	7.33	4.25	7.47	6.48	9.36	6.15
SD	4.13	4.10	3.83	4.35	4.08	3.48
N	120	8	59	29	11	13

F=2.41, n.s.*

Scale Range = 0-23

*(p=.0532)

resident perceptions. The Reformatory apparently had little impact on the perceptions its staff or residents have about their control over their affairs.

Summary of Survey Results

Survey results suggest that unit variations have a significant impact on residents' attitudes about the institution (as measured by both the CIES and RAQ). Specifically, Units 3 and 4 were consistently perceived the most positively by their residents, and Units 1 and 2 the least positively. Staff tended to see the institution more positively, overall, than did residents; but there was relatively little variation in staff attitude across job categories.

These findings appear to reinforce results from participant-observation reported in Chapter 4. The following chapter will integrate these separate findings, seek to provide explanations for results, and suggest appropriate recommendations.

CHAPTER 6

CONCLUSIONS, IMPLICATIONS AND RECOMMENDATIONS

This chapter will summarize primary findings of this study, attempting to answer two basic questions: "What do we know?" and "What does it mean?". Special focus will be placed on delineating the implications of these results for the Missouri Intermediate Reformatory and other Missouri correctional institutions considering implementing functional unit management programs.

Conclusions

Three areas of conclusions will be addressed: The degree functional unit management has been implemented at MIR; the effectiveness of the program; and the extent of variation between units.

Degree of Program Implementation. Our observations and data do suggest that the functional unit management program is reasonably well implemented at MIR. The structure is firmly established with all residents assigned to units, unit staff working within units, and primary decision-making taking place within the unit. Furthermore, there is general staff acceptance and approval of the program, suggesting that initial phases of staff concern and resistance may have been largely worked through.

Operationally, program objectives apparently are being met. There seems to be a good pattern of communication between

staff and residents,[1] with about half of the (sampled) incidents of interaction being on problem-solving levels, and with interactions averaging nearly five minutes in length. In addition, a good distribution of participation was observed in unit decision-making processes (the team classification meetings), although as might be expected the nature of the involvement varied from one participant to another. In particular, what might be called "key" participation (offering solutions agreed upon by the team) was well distributed across staff participants.

Staff and resident attitudes also suggest satisfactory program implementation, although here we must be more cautious. Overall institutional profiles on the CIES were comparable to national norms for adult male institutions; and while these results do not demonstrate dramatic positive feelings they are also not negative, as might have been expected at earlier stages of program implementation.[2]

In general, the MIR unit management program operates similarly to programs in the Federal Bureau of Prisons, as described in Chapter 2. The primary difference, in the number of unit staff available, is in part a function of the state's resources for professional staff, and in part because custody personnel are not routinely considered unit staff at the Reformatory. (These points will be addressed again later in this Chapter).

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[1] Although, of course, there is no way to compare this with pre-program patterns, and we have no comparable data for other Division of Corrections' institutions.

[2] See pp. 17-18 and 90-91 for comments on this issue. As previously noted (pp. 34-35) data are not available for either pre-program comparison or comparison with other Division institutions.

Program Effectiveness. We have acknowledged from the beginning[3] that this study would not be able to answer with finality the question of the effectiveness of functional unit management as compared to other correctional management models. Even though relevant criteria were developed or used in this study, we have no comparable institution or program to use as a "control".

Even comparison of standardized measures (such as CIES scores) against national norms is of little value here. Even though MIR results were no better than average for adult male prisons comprising the normative sample (see Figure 5.1, p. 114), we have no data on how MIR (or any other Missouri institution for that matter) would score without the functional unit management program. It is possible, for example, that functional unit management has significantly improved the climate at MIR from well below that of other institutions to at least an average level.[4]

It may, however, be possible to infer some answers on the effectiveness of the overall program from our results on variations among units. That is, if some units produce better outcomes than others we might conclude that the nature of the program in a unit was significant, and perhaps infer effectiveness for functional unit management programs developed in accordance with the more effective models. It is to this question of inter-unit variation,

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[3] See pp. 34-35.

[4] Certainly, it would be useful to be able to make such comparisons between institutions or for specific institutions over time. For this reason we will recommend implementation of a program of regular testing with the CIES or other appropriate measures in all Division institutions.

therefore, that we now turn.

Variations Between Units. Equivocation is not necessary at this point: our findings clearly demonstrate significant variations between the four MIR units in how well functional unit management has been implemented, and in such criterion measures as institutional climate and attitudes about the institution.

Our informal participant observations led to extensive documentation of inter-unit variations in operating procedures (see Chapter 4), suggesting that Units 3 and 4 had better developed programs. These Phase I observations were supported by Phase II observational measures demonstrating that Units 3 and 4 were superior in intensity and amount of informal interaction between staff and residents, and in the distribution of participation by staff and residents in team meetings. Only in the relative percentage of resident participation, where Unit 1 residents were nearly as active as Unit 4 residents, was this pattern broken; and even here Units 3 and 4 were considerably higher than Unit 2. Ranked overall on observational measures Units 3 and 4 scored highest, followed by Units 1 and 2.

These results were validated by survey findings, in which Units 3 and 4 scored significantly higher on institutional climate and institutional attitude measures.[5] Unit 3 (and to a lesser

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[5] Self concept and locus of control (I-E) measures produced little variation among units, although as previously noted (footnotes 10 and 11, Chapter 3) little variation was expected. Our conclusions from these data were that residents were somewhat more externally oriented (i.e., perceived that they were controlled by external forces) than were staff; and that both residents and staff had very low self concepts.

extent Unit 4), in fact, exhibited a CIES profile well above the national norm for adult male institutions; and on the key variable of "Program Clarity" both units were considerably above the national averages.

Our results, then, are clear: The units which had better operating unit programs, and which exhibited better implementation of unit management (in terms of informal interaction and staff and resident participation in team meetings) also had more positive attitudes about the institution and better institutional climate profiles. What we found, therefore, seems quite clear. What it means, however, may be less obvious. It is to that question that we now turn.

Implications.

The Question of Meaning. It is not enough to observe that Units 3 and 4 had better levels of staff and resident interaction and participation, and also had more positive institutional attitudes and climates. On the face of it, such an observation would appear to suggest a causal relationship; that is, that better interaction and participation leads to better climate and attitudes. This may well be true, but it begs the real question, which is how to obtain such better levels of interaction and participation.

The real question, therefore, is "What about Units 3 and 4 could explain why they show more staff/resident interaction and participation, and score higher on institutional attitude and

climate scales?"[6] We believe a key to the answer may lie in three findings from our informal (non-quantified) observations, as discussed in Chapter 4, on operational variations between units.

First, a generalized conclusion from our observations was that communication among staff and residents, and involvement of both staff and residents, was better on Units 3 and 4 than on Units 1 and 2. Patterns of interaction appeared more informal on the two better units, and staff seemed more involved with residents. This seemed particularly to be true on Unit 3.

The interactions between residents and staff seemed least positive on Unit 2, where staff operated rather directively, and where much of the interaction was of a "question and answer" nature. Unit 1 residents were encouraged to participate actively, and that unit operated on a first name basis; but differences appeared somewhat more quantitative than qualitative.

Staff structure on Units 1 and 2, furthermore, was more

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[6] Several "explanations", some more substantive than others, were considered by project staff. It was noted, for example, that Unit 3 and 4 are both on the east side of the institution, suggesting a geographic or climatological factor. Somewhat more plausibly, it was noted that Building Six, housing administrative and punitive segregation, is also on the east side of the grounds, suggesting a possible deterrent effect. While this may explain improved institutional behavior, it would be unlikely to result in improved scores on attitude and climate scales. Finally, we examined staff demographic variations to see if staff members' characteristics, such as length of time having worked on a unit, training, or some other factor could explain our results. None did: Unit 3, rated highest overall had had its unit manager replaced shortly before formal observational data were collected; almost all staff received the same (limited) training; and no other demographic variations seemed to exist that could explain results.

formalized. This was particularly true for Unit 1, where the Caseworker exercised a great deal of control. Unit 3 staff, on the other hand, exhibited very little of a formal power structure.[7]

Second, differences were noted in the operation of the custody level system on the four units. Where Units 1, 2 and 4 brought new residents into close custody, with advancement to medium and honor status dependent upon good behavior (and available space), Unit 3 introduced new residents directly onto the medium custody level. The prevailing philosophy, of course, was for new residents to begin with fewest privileges and to move up as they proved themselves. Unit 3 staff, on the other hand, were concerned that new residents placed on close custody might be influenced by other "problem" residents who were on close custody because of poor behavior.

Third, variations were observed in the operation of the units' resident councils.[8] Councils were supposed to operate on each unit, with separate councils for each custody level. In fact, councils on Units 3 and 4 seemed better developed. Where the Unit 1 council operated only irregularly, and Unit 2 had an operational council at the honor level, Units 3 and 4 had regular council meetings at each level.

Specific differences in council processes were observed in how council members were designated and in who could participate in meetings. All Units except Unit 3 elected council representatives

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[7] Of course, this may have been caused by a change in Unit 3's unit manager during the observation period.

[8] See Table 4.2, p. 84.

(Unit 3 did not do so, reportedly, because of frequent inter-level transfers). The primary difference, however, was that _all_ residents on Unit 3 and 4 were allowed to participate in council meetings, (rather than just elected representatives).

A _Tentative_ _Answer_. These three factors themselves surely did not cause the superior results of Units 3 and 4 on observational and survey measures. Better communication and involvement, after all (and to a lesser extent more effective resident councils) are also dependent variables, results of better unit operations. Placing new residents directly into medium custody, furthermore, can hardly explain these findings, especially since that practice ocurred only on Unit 3. Unit 4, after all, placed new residents onto close custody and also scored well on most measures.

These three factors do relate, however, in that all three could affect - or be affected by - the quality of group norms and values developed within each unit.[9] That is, as group norms promoting open communication between residents and staff, and increased participation of residents and staff in decision-making, become

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9 Social psychological theory (Secord and Backman, 1964; Cartwright and Zander, 1968) suggests that group norms develop out of the process of interaction of a group of persons with common interests or concerns. These group norms represent the members' expectations for the individual member, and develop "because they are needed to increase clarity, to promote interaction, to free individuals from having to make a decision about every aspect of behavior" (Wheeler, 1970:12). To the extent that membership in the group is important to an individual, or that group identification can provide meaning or structure to an ambiguous or threatening circumstance, the groups' norms provide important determinants for the individual's behavior. An individual who identifies and interacts with a local Junior Chamber of Commerce, for example, is likely to have different attitudes, values and behavior than one identifying and interacting with a group of Hell's Angels motorcycle riders.

better established we could expect an observer to note more openness and involvement. In addition, such values should make the resident council a more important activity for both residents and staff, and should make it easier to maintain operating councils.

On the other hand, participation of all (or most) residents in council meetings, as was practiced in Units 3 and 4, should be significant methods for developing and transmitting unit group norms. Furthermore, introducing new residents directly into medium custody would facilitate these new unit members adopting group norms, since residents who reject these norms would be more likely to be found in close custody.

We believe, in short, that the reason for the success of Units 3 and 4, and the key element for any effective functional unit management program, is in "group-building" -- the degree to which unit norms and values consistent with the basic objectives of functional unit management develop. Group norms develop best in organized group activities designed to articulate values and promote acceptance and identification; this is precisely what the resident councils, for example, may do most effectively.

Group _Norms_ in _Prison_. Prison norms have frequently been the object of study, and the existance of common prison values (such as "do your own time," "never help the guards," "never 'rat' on another inmate," etc.) is well documented (Clemmer, 1958; Sykes and Messinger, 1960). It is less clear whether these "prison norms" develop in response to the institution itself (Clemmer, 1958; Sykes and Messinger, 1960) or represent deviant subcultural values brought

by convicted offenders into institutions (Irwin and Cressey, 1962); and whether they represent progressive and permanent adaptations to the prison experience (Clemmer, 1958) or merely a temporary response while incarcerated (Wheeler, 1961).

The point is that there does typically exist a common pattern of antagonistic staff and resident attitudes in most prisons, with little communication between the two groups. One result is that both groups often feel alienated and rejected by society as a whole. These "norms" may vary from institution to institution (Street, Vinter and Perrow, 1966), but to the extent that they exist, they produce the "traditional" correctional institution that was the original concern in the development of functional unit management.

Group Norms and Correctional Treatment. The application of group theory to correctional treatment has involved developing mechanisms to control the groups with which offenders will identify. Called variously "therapeutic communities" (Jones, 1953), "guided group interaction" (McCorkle, Elias and Bixby, 1958), and "positive peer culture" (Vorrath and Brendtro, 1974), among other names, the approach involves placing the offender into a group setting where prosocial values are articulated and where prosocial behaviors are expected and rewarded; and involves including mechanisms (i.e., group meetings) where these values and behavioral expectations are discussed, challenged, and defended. The effectiveness of such approaches has been demonstrated in several studies (Weeks, 1963; Empey and Erickson, 1972).

Group Norms and Functional Unit Management. Functional unit management has been largely nontheoretical in its development, but can easily be seen as an application of group theory. Instead of viewing unit management merely as an improved managerial concept (permitting more efficient institutional operation through decentralization), this view would see the program as an opportunity for residents (and staff) to identify with specific groups (or "Units") and to interact and participate in the development of positive group values.

It is in this context that such unit management objectives as "increasing staff and resident interaction" and "increasing staff and resident participation in decision-making" make the most sense. Rather than simply "improved managerial efficiency", perhaps, what is really happening is the development and transmission of a prosocial group culture. If this is true, we could expect units with the best developed "functional unit" group norms to be more fully "implemented" and to exhibit more positive climate and attitudes. We believe that this is exactly what we have found happening at MIR; and it is on the basis of this conclusion that we advance the following recommendations.

Recommendations.

An underlying assumption of the following discussion is our conclusion that functional unit management is a valuable correctional programming approach. We emphasize (again), however, that this conclusion is not based on the findings of this study, except to the extent that our results provide support for viewing unit

management from a group theory perspective. Our conclusion that unit management is a valuable correctional tool is ultimately based on theory, not practice. We believe it provides the kind of structure and processes that make offender rehabilitation[10] more likely.

We believe that it is imperative that correctional administrators planning to implement unit management programs understand this point. Unit management (like many other programs) can be an effective programming approach, but if it is treated only as a "more efficient management model" it will inevitably be viewed by offenders as merely one more "coercion," and will reinforce the very anti-social values and behaviors we seek to overcome.

With this perspective clearly in focus we have structured our recommendations into four major areas related to 1) development of appropriate structures and processes; 2) staff development; 3) orientation and involvement of residents; and 4) record keeping and evaluation. Each area will be discussed in turn.

Developing Appropriate Structures and Processes. Our recommendations follow directly from our conclusion that effective unit management is the result of the development and maintenance of positive group environments. These recommendations provide no more than initial points of departure, on the basis of our results, and should not be considered exhaustive.

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[10] We define rehabilitation not as "reformation," but as growth and maturity, acceptance of responsibility, and identification with prosocial values and behavior.

● We recommend that each institutional functional unit management program be structured from a group perspective, and that unit processes be developed that promote group building and the acquisition of prosocial group norms.

Specifically, we recommend:

● involving as many institutional staff as possible directly in unit operations;

● encouraging and rewarding values and behaviors associated with involvement and open communication among both staff and residents;

● establishing operational resident councils at each custody level on all units, with all residents encouraged to participate;

● introducing new residents on all units directly into medium custody; and

● organizing inter-unit competition through games or other activities.

These five specific recommendations are merely examples of the kinds of processes possible. Involvement of as many staff as possible is an obvious step, directed specifically at correctional officers providing security on units. Excluding these staff members from full participation in unit activities serves to exacerbate already strained relations between programming and custody staff, and to increase custodial perceptions of alienation. Under such circumstances custodial resistance is understandable and predictable. Furthermore, excluding correctional officers from unit processes deprives the unit of valuable sources of infor-

mation and group leadership.

Integrating support for values important to functional unit management into the institutional reward structure would provide strong incentive for staff and residents to internalize these values themselves. If staff know that better evaluations and promotions are given to persons supporting involvement and communication they will practice these values and, often without realizing it, become supportive. Similarly, as residents recognize that increased opportunities and more favorable programming recommendations are made for involved residents they will follow suit.

We recognize that this has been done effectively at MIR since the program was adopted; in large measure, therefore, this recommendation applies to new institutional programs. We also recognize that this approach could be considered coercive or manipulative, and in a sense it is. It is based upon the assumption that attitudes and values are often adjusted to coincide with behavior, (which may in fact provide a useful explanation for the effectiveness of group programming). The important point is the objective: we propose programming to promote prosocial values, not merely to reduce institutional management problems.

The other three recommendations deal with more specific activities that could facilitate group building or transmission of group values. Resident councils can be an effective mechanism for building and transmitting group values, especially when all residents are involved. In such circumstances the resident council effectively converts the unit into a "therapeutic community" (Jones, 1953) in which all participants, resident and staff alike, parti-

cipate in governance processes relevant to the group.

Introducing new residents directly into medium custody serves to expose these residents first to other residents with positive attitudes, behaviors and values, rather than to those more likely to be negative. Furthermore, it more clearly communicates the concept that one's behavior has consequences - either positive or negative - then does a system in which one starts at the bottom and moves up relatively automatically. Full implementation of this recommendation may be complicated by space problems, particularly in institutions (like MIR) where limited space is available for medium custody. It is important, therefore, that enough room be made available to enlarge the medium custody level as much as necessary. After all, if the unit operates optimally there would be few persons on the close custody level, since the prosocial group norms would positively influence most residents' behavior.

Intergroup competition can be effective in building groups (Second and Backman, 1964), although care must be taken to prevent the transfer of hostilities from "the system" to other groups. Such activities might include "intramural" sports events between units, but could also include other types of competition. The objective of such activities, of course, is not "winning" but development of groups which can then be used to promote positive values.

Staff Development. Key to the effectiveness of any group-oriented program, of course, is the ability of the staff. The following

recommendations focus on this concern, and again should not be considered exhaustive.

● We recommend that steps be initiated to better prepare staff in unit group processes.

Specifically, we recommend:

● providing all staff at institutions with functional unit management programs with a thorough orientation to the program; and

● providing all staff working directly with units, including custodial personnel, with intensive training in functional unit management operations and in group processes and techniques.

These recommendations are for training beyond that currently conducted by the Division. Our observations demonstrated that many MIR staff, while possibly supportive to unit management, have little awareness of how it operates. All staff at institutions need a careful orientation to their institutional program, conducted ideally by a trainer from the institution itself. This orientation, which might involve one or two days, must be more thorough then what can be provided for all Division Staff; and ideally it should be conducted at the institution itself. Such an orientation, of course, would also serve to introduce staff to unit management values, and should begin the process of staff acceptance of these values.

If unit management effectiveness involves the use of group processes, staff working with units (including custodial staff) need to develop in-depth understanding of these processes and

group techniques. This can be done by providing all unit staff with thorough training in unit management, group theory and group methods. Such a training program would realistically involve at least a full week for new staff, with continuing training of two or more days per year for experienced staff. Again, this should be done at the institution by an institutional trainer and/or a specialist. Of course, if other institutional programs develop it may be possible to combine this specialized training.

Resident Orientation and Involvement. Ultimately, of course, unit management requires acceptance and involvement of residents. The following recommendations are directed toward this objective.

● We recommend that programs be implemented or continued to effectively orient residents to functional unit management and to motivate them to participate fully.

Specifically, we recommend:

● providing an orientation for new residents to functional unit management;

● continuing or developing a custody level system to provide a mechanism for rewarding desirable behavior or penalizing undesirable behavior;

● continuing or developing the use of behavioral contracts to specify expectations for residents; and

● promoting the full involvement of residents in all decision-making processes.

Although group processes, if used effectively, should quickly influence residents introduced into operating units one by

one, this "socialization" process can be facilitated by orienting residents in advance. New institutional programs, furthermore, in which all residents enter the unit at the same time, will need such orientation even more. In effect, we are suggesting that residents be "trained" as well as staff, although their training would not be as extensive. In particular, residents need to understand the differences between unit management and the traditional institutional processes most have previously experienced. Such "orientation" to the program and the unit should help to reduce initial resident resistances.

Group processes can be effective influences on behavior, but they may work rather slowly. Combined with more direct motivational methods the process of internalization of desired norms can be speeded considerably. Behavioral contracts and the custody level system are two such methods. Contracts specify precisely the expected behaviors; and variations among custody levels offer the intermediate rewards that may be necessary to effect initial change. These programs are operational at MIR, and should be continued. They should be part of any new program developed at other institutions.

In the final analysis the purpose of functional unit management, viewed from the perspective we have proposed, is to promote the residents' capacities for effective independent living. Such independence requires the ability to make responsible decisions. Involvement in unit and individual decision-making processes provides unmatched opportunities for developing such skills. Residents should be fully involved in all decision-making

processes, including (but not limited to) team classification meetings and resident councils. The critical issue is the nature of such participation: it must be full involvement, not "tokenism". Unit staff must remember, however, that residents, even though they may be quite verbal, may also be quite unskilled at decision-making, and therefore may need a great deal of support.

Record-Keeping and Evaluation. Progress is not possible if we do not know how we are doing, or what works best. No system can improve without adequate records and evaluation. The following two recommendations focus on this need.

● We recommend the development of systematic record-keeping procedures to provide ongoing information on unit operations.
● We recommend the development of a program of ongoing evaluation in all Division of Corrections institutions.

The Division of Corrections maintains an extensive information system which includes biographic data, institutional variables such as housing and work assignments, disciplinary reports, furloughs, and parole information; but retrieval can be difficult.[11] A great deal of valuable information is routinely made available, however, such as unit comparisons on furloughs and violations. These reports should be retained for future use.

We believe evaluation should be an ongoing activity. We

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[11] See Appendix C for a discussion of these data and retrieval methods.

recommend an ongoing program of data collection, including regular assessment in each Division institution with the CIES or other appropriate instruments, and ongoing collection of data from institutional records. Such a program of data collection would permit longitudinal assessment of institutional progress as a result of programming, as well as comparisons of attitudes, institutional climate or other data between institutions. Such information, of course, is essential if quality programs are to be recognized and developed.

Final Comments

This evaluation was limited, as we have frequently noted, by the lack of comparative or longitudinal data. Nevertheless, we believe our cross-sectional design, using observational and survey data, allowes us to treat our findings with considerable confidence. We also believe our results, documenting clear differences among the four units at MIR, offer useful insights into how unit management works and how to make such programs more effective.

Throughout, we have been guided by a commitment to improving correctional programming. If our efforts or these results further that cause, our work will have been worth while.

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APPENDIX A

EVALUATION INSTRUMENTS

CORRECTIONAL INSTITUTIONS
ENVIRONMENT SCALE*
FORM R

Directions: There are 90 statements on this questionnaire. They
are statements about correctional units. You are to decide
which of these statements are true of your unit and which are
false. Indicate your response by circling either the T (True)
or the F (False) in the column to the left of the question you
are answering. If you think a statement is true or mostly
true of your unit, circle T; if you think a statement is false
or mostly false, circle F.

True   False

T   F   1. The residents are proud of this unit.

T   F   2. Staff have very little time to encourage residents.

T   F   3. Residents are encouraged to show their feelings.

T   F   4. The staff act on residents' suggestions.

T   F   5. There is very little emphasis on making plans for
            getting out of here.

T   F   6. Residents are expected to share their personal
            problems with each other.

T   F   7. The staff make sure that the unit is always neat.

T   F   8. Staff sometimes argue with each other.

T   F   9. Once a schedule is arranged for a resident, he
            must follow it.

T   F   10. Residents here really try to improve and get better.

T   F   11. Staff are interested in following up residents once
             they leave.

True   False

T   F   12. Residents tend to hide their feelings from the
             staff.

T   F   13. Residents are expected to take leadership on the
             unit.

T   F   14. Residents are encouraged to plan for the future.

T   F   15. Residents rarely talk about their personal problems
             with other residents.

T   F   16. The day room is often messy.

T   F   17. If a resident's program is changed, someone on the
             staff always tells him why.

T   F   18. Residents may criticize staff members to their
             faces.

T   F   19. Residents on this unit care about each other.

T   F   20. The staff help new residents get acquainted on
             the unit.

T   F   21. Staff and residents say how they feel about each
             other.

T   F   22. The staff give residents very little responsibility.

T   F   23. Residents are encouraged to learn new ways of doing
             things.

T   F   24. Personal problems are openly talked about.

T   F   25. The unit usually looks a little messy.

T   F   26. When residents first arrive on the unit, someone
             shows them around and explains how the unit operates.

T   F   27. Residents will be transferred from this unit if
             they don't obey the rules.

T   F   28. There is very little group spirit on this unit.

T   F   29. The more mature residents on this unit help take
             care of the less mature ones.

True   False

T   F   30. People say what they really think around here.

T   F   31. Residents have a say about what goes on here.

T   F   32. There is very little emphasis on what residents will be doing after they leave the unit.

T   F   33. Discussions on the unit emphasize understanding personal problems.

T   F   34. This is a very well organized unit.

T   F   35. Staff are always changing their minds here.

T   F   36. All decisions about the unit are made by the staff and not by the residents.

T   F   37. Residents put a lot of energy into what they do around here.

T   F   38. Residents rarely help each other.

T   F   39. Residents say anything they want to the counselors.

T   F   40. The staff discourage criticism.

T   F   41. Staff care more about how residents feel than about their practical problems.

T   F   42. Staff are mainly interested in learning about residents feelings.

T   F   43. Things are sometimes very disorganized around here.

T   F   44. Staff tell residents when they're doing well.

T   F   45. The staff very rarely punish residents by restricting them.

T   F   46. The unit has very few social activities.

T   F   47. Staff go out of their way to help residents.

True   False

T   F   48. Residents are careful about what they say when staff are around.

T   F   49. Staff encourage residents to start their own activities.

T   F   50. This unit emphasizes training for new kinds of jobs.

T   F   51. Residents are rarely asked personal questions by the staff.

T   F   52. Many residents look messy.

T   F   53. If a resident breaks a rule, he knows what will happen to him.

T   F   54. Staff don't order the residents around.

T   F   55. Very few things around here ever get people excited.

T   F   56. Staff are involved in resident activities.

T   F   57. When residents disagree with each other, they keep it to themselves.

T   F   58. Staff rarely give in to resident pressure.

T   F   59. Residents here are expected to work toward their goals.

T   F   60. The staff discourage talking about sex.

T   F   61. Residents' activities are carefully planned.

T   F   62. Residents are always changing their minds here.

T   F   63. If one resident argues with another, he will get into trouble with the staff.

T   F   64. Discussions are pretty interesting in this unit.

T   F   65. Counselors have very little time to encourage residents.

True False

T F 66. It is hard to tell how residents are feeling on this unit.

T F 67. Residents here are encouraged to be independent.

T F 68. New treatment approaches are often tried on this unit.

T F 69. Staff try to help residents understand themselves.

T F 70. Counselors sometimes don't show up for their appointments with residents.

T F 71. Residents never know when a counselor will ask to see them.

T F 72. The unit staff regularly check up on the residents.

T F 73. Residents don't do anything around here unless the staff ask them to.

T F 74. Staff encourage group activities among residents.

T F 75. On this unit staff think it is a healthy thing to argue.

T F 76. There is no resident government on this unit.

T F 77. Residents must make plans before leaving the unit.

T F 78. Residents hardly ever discuss their sexual lives.

T F 79. The staff set an example for neatness and orderliness.

T F 80. Residents never know when they will be transferred from this unit.

T F 81. Residents can call staff by their first names.

T F 82. This is a friendly unit.

True False

T F 83. The staff know what the residents want.

T F 84. Residents on this unit rarely argue.

T F 85. Residents are encouraged to make their own decisions.

T F 86. There is very little emphasis on making residents more practical.

T F 87. Residents cannot openly discuss their personal problems here.

T F 88. Residents are rarely kept waiting when they have appointments with the staff.

T F 89. The residents know when counselors will be on the unit.

T F 90. The staff do not tolerate sexual behavior by residents.

TENNESSEE SELF CONCEPT SCALE*

<u>Directions</u>: The statements in this inventory are to help you des-
cribe yourself as you see yourself. Please answer them as if
you were describing yourself <u>to yourself</u>. Read each item care-
fully; then select one of the five responses and circle the
one that best describes how you feel about yourself. Don't
skip any items. Answer each one. If you change an answer,
erase the circle around the old answer completely and circle
the new one.

CF = Completely False
MF = Mostly False
PF-PT = Partly False and Partly True
MT = Mostly True
CT = Completely True

	Completely False	Mostly False	Partly False and Partly True	Mostly True	Completely True
1. I have a healthy body.	CF	MF	PF-PT	MT	CT
2. I am an attractive person.	CF	MF	PF-PT	MT	CT
3. I consider myself a sloppy person.	CF	MF	PF-PT	MT	CT
4. I am a decent sort of person.	CF	MF	PF-PT	MT	CT
5. I am an honest person.	CF	MF	PF-PT	MT	CT
6. I am a bad person.	CF	MF	PF-PT	MT	CT
7. I am a cheerful person.	CF	MF	PF-PT	MT	CT
8. I am a calm and easy going person.	CF	MF	PF-PT	MT	CT
9. I am a nobody.	CF	MF	PF-PT	MT	CT
10. I have a family that would always help me in any kind of trouble.	CF	MF	PF-PT	MT	CT

* The Tennessee Self Concept Scale is reproduced with the permission of Counselor
and Recordings and Tests, Nashville, Tennessee 37212.

	Completely False	Mostly False	Partly False and Partly True	Mostly True	Completely True
11. I am a member of a happy family.	CF	MF	PF-PT	MT	CT
12. My friends have no confidence in me.	CF	MF	PF-PT	MT	CT
13. I am a friendly person.	CF	MF	PF-PT	MT	CT
14. I am popular with men.	CF	MF	PF-PT	MT	CT
15. I am not interested in what other people do.	CF	MF	PF-PT	MT	CT
16. I do not always tell the truth.	CF	MF	PF-PT	MT	CT
17. I get angry sometimes.	CF	MF	PF-PT	MT	CT
18. I like to look nice and neat all the time.	CF	MF	PF-PT	MT	CT
19. I am full of aches and pains.	CF	MF	PF-PT	MT	CT
20. I am a sick person.	CF	MF	PF-PT	MT	CT
21. I am a religious person.	CF	MF	PF-PT	MT	CT
22. I am a moral failure.	CF	MF	PF-PT	MT	CT
23. I am a morally weak person.	CF	MF	PF-PT	MT	CT
24. I have a lot of self-control.	CF	MF	PF-PT	MT	CT
25. I am a hateful person.	CF	MF	PF-PT	MT	CT
26. I am losing my mind.	CF	MF	PF-PT	MT	CT
27. I am an important person to my friends and family.	CF	MF	PF-PT	MT	CT

	Completely False	Mostly False	Partly False and Partly True	Mostly True	Completely True
28. I am not loved by my family.	CF	MF	PF-PT	MT	CT
29. I feel that my family doesn't trust me.	CF	MF	PF-PT	MT	CT
30. I am popular with women.	CF	MF	PF-PT	MT	CT
31. I am mad at the whole world.	CF	MF	PF-PT	MT	CT
32. I am hard to be friendly with.	CF	MF	PF-PT	MT	CT
33. Once in a while I think of things too bad to talk about.	CF	MF	PF-PT	MT	CT
34. Sometimes when I am not feeling well, I am cross.	CF	MF	PF-PT	MT	CT
35. I am neither too fat nor too thin.	CF	MF	PF-PT	MT	CT
36. I like my looks just the way they are.	CF	MF	PF-PT	MT	CT
37. I would like to change some parts of my body.	CF	MF	PF-PT	MT	CT
38. I am satisfied with my moral behavior.	CF	MF	PF-PT	MT	CT
39. I am satisfied with my relationship to God.	CF	MF	PF-PT	MT	CT
40. I ought to go to church more.	CF	MF	PF-PT	MT	CT
41. I am satisfied to be just what I am.	CF	MF	PF-PT	MT	CT
42. I am just as nice as I should be.	CF	MF	PF-PT	MT	CT
43. I despise myself.	CF	MF	PF-PT	MT	CT
44. I am satisfied with my family relationships.	CF	MF	PF-PT	MT	CT

	Completely False	Mostly False	Partly False and Partly True	Mostly True	Completely True
45. I understand my family as well as I should.	CF	MF	PF-PT	MT	CT
46. I should trust my family more.	CF	MF	PF-PT	MT	CT
47. I am as sociable as I want to be.	CF	MF	PF-PT	MT	CT
48. I try to please others, but I don't overdo it.	CF	MF	PF-PT	MT	CT
49. I am no good at all from a social standpoint.	CF	MF	PF-PT	MT	CT
50. I do not like everyone I know.	CF	MF	PF-PT	MT	CT
51. Once in a while, I laugh at a dirty joke.	CF	MF	PF-PT	MT	CT
52. I am neither too tall nor too short.	CF	MF	PF-PT	MT	CT
53. I don't feel as well as I should.	CF	MF	PF-PT	MT	CT
54. I should have more sex appeal.	CF	MF	PF-PT	MT	CT
55. I am as religious as I want to be.	CF	MF	PF-PT	MT	CT
56. I wish I could be more trustworthy.	CF	MF	PF-PT	MT	CT
57. I shouldn't tell so many lies.	CF	MF	PF-PT	MT	CT
58. I am as smart as I want to be.	CF	MF	PF-PT	MT	CT
59. I am not the person I would like to be.	CF	MF	PF-PT	MT	CT
60. I wish I didn't give up as easily as I do.	CF	MF	PF-PT	MT	CT

	Completely False	Mostly False	Partly False and Partly True	Mostly True	Completely True
61. I treat my parents as well as I should (use past tense if parents are not living).	CF	MF	PF-PT	MT	CT
62. I am too sensitive to things my family say.	CF	MF	PF-PT	MT	CT
63. I should love my family more.	CF	MF	PF-PT	MT	CT
64. I am satisfied with the way I treat other people.	CF	MF	PF-PT	MT	CT
65. I should be more polite to others.	CF	MF	PF-PT	MT	CT
66. I ought to get along better with other people.	CF	MF	PF-PT	MT	CT
67. I gossip a little at times.	CF	MF	PF-PT	MT	CT
68. At times I feel like swearing.	CF	MF	PF-PT	MT	CT
69. I take good care of myself physically.	CF	MF	PF-PT	MT	CT
70. I try to be careful about my appearance.	CF	MF	PF-PT	MT	CT
71. I often act like I am "all thumbs."	CF	MF	PF-PT	MT	CT
72. I am true to my religion in my everyday life.	CF	MF	PF-PT	MT	CT
73. I try to change when I know I'm doing things that are wrong.	CF	MF	PF-PT	MT	CT
74. I sometimes do very bad things.	CF	MF	PF-PT	MT	CT
75. I can always take care of myself in any situation.	CF	MF	PF-PT	MT	CT

	Completely False	Mostly False	Partly False and Partly True	Mostly True	Completely True
76. I take the blame for things without getting mad.	CF	MF	PF-PT	MT	CT
77. I do things without thinking about them first.	CF	MF	PF-PT	MT	CT
78. I try to play fair with my friends and family.	CF	MF	PF-PT	MT	CT
79. I take a real interest in my family.	CF	MF	PF-PT	MT	CT
80. I give into my parents (use past tense if parents are not living).	CF	MF	PF-PT	MT	CT
81. I try to understand the other fellow's point of view.	CF	MF	PF-PT	MT	CT
82. I get along well with other people.	CF	MF	PF-PT	MT	CT
83. I do not forgive others easily.	CF	MF	PF-PT	MT	CT
84. I would rather win than lose in a game.	CF	MF	PF-PT	MT	CT
85. I feel good most of the time.	CF	MF	PF-PT	MT	CT
86. I do poorly in sports and games.	CF	MF	PF-PT	MT	CT
87. I am a poor sleeper.	CF	MF	PF-PT	MT	CT
88. I do what is right most of the time.	CF	MF	PF-PT	MT	CT
89. I sometimes use unfair means to get ahead.	CF	MF	PF-PT	MT	CT
90. I have trouble doing the things that are right.	CF	MF	PF-PT	MT	CT
91. I solve my problems quite easily.	CF	MF	PF-PT	MT	CT

	Completely False	Mostly False	Partly False and Partly True	Mostly True	Completely True
92. I change my mind a lot.	CF	MF	PF-PT	MT	CT
93. I try to run away from my problems.	CF	MF	PF-PT	MT	CT
94. I do my share of work at home.	CF	MF	PF-PT	MT	CT
95. I quarrel with my family.	CF	MF	PF-PT	MT	CT
96. I do not act like my family thinks I should.	CF	MF	PF-PT	MT	CT
97. I see good points in all the people I meet.	CF	MF	PF-PT	MT	CT
98. I do not feel at ease with other people.	CF	MF	PF-PT	MT	CT
99. I find it hard to talk with strangers.	CF	MF	PF-PT	MT	CT
100. Once in a while I put off until tomorrow what I ought to do today.	CF	MF	PF-PT	MT	CT

I-E SCALE

Directions: This is a questionnaire to find out the way in which certain important events in our society affect different people. Each item consists of a pair of alternatives lettered "a" or "b." Please circle the letter of the one statement of each pair (and only one) which you most strongly believe to be more true. Do not circle the one you think you should choose or the one you would like to be true, but the one you believe to be true. In some instances you may discover that you believe both statements or neither one. In such cases, be sure to select the one you more strongly believe to be the case as far as you are concerned.

1. a. Children get into trouble because their parents punish them too much.

   b. The trouble with most children nowadays is that their parents are too easy with them.

2. a. Many of the unhappy things in people's lives are partly due to bad luck.

   b. People's misfortunes result from the mistakes they make.

3. a. One of the major reasons why we have wars is because people don't take enough interest in politics.

   b. There will always be wars, no matter how hard people try to prevent them.

4. a. In the long run people get the respect they deserve in this world.

   b. Unfortunately, an individual's worth often passes unrecognized no matter how hard he tries.

5. a. The idea that teachers are unfair to students is nonsense.

   b. Most students don't realize the extent to which their grades are influenced by accidental happenings.

6. a. Without the right breaks one cannot be an effective leader.

   b. Capable people who fail to become leaders have not taken advantage of their opportunities.

7. a. No matter how hard you try some people just don't like you.

   b. People who can't get others to like them don't understand how to get along with others.

8. a. Heredity plays the major role in determining one's personality.

   b. It is one's experiences in life which determine what they are like.

9. a. I have often found that what is going to happen will happen.

   b. Trusting to fate has never turned out as well for me as making a decision to take a definite course of action.

10. a. In the case of the well prepared student there is rarely if ever such a thing as an unfair test.

    b. Many times exam questions tend to be so unrelated to course work that studying is really useless.

11. a. Becoming a success is a matter of hard work, luck has little or nothing to do with it.

    b. Getting a good job depends mainly on being in the right place at the right time.

12. a. The average citizen can have an influence in government decisions.

    b. This world is run by the few people in power, and there is not much the little guy can do about it.

13. a. When I make plans, I am almost certain that I can make them work.

    b. It is not always wise to plan too far ahead because many things turn out to be a matter of good or bad fortune anyhow.

14. a. There are certain people who are just no good.

    b. There is some good in everybody.

15. a. In my case getting what I want has little or nothing to do with luck.

    b. Many times we might just as well decide what to do by flipping a coin.

16. a. Who gets to be the boss often depends on who was lucky enough to be in the right place first.

    b. Getting people to do the right thing depends upon ability, luck has little or nothing to do with it.

17. a. As far as world affairs are concerned, most of us are the victims of forces we can neither understand, nor control.

    b. By taking an active part in political and social affairs the people can control world events.

18. a. Most people don't realize the extent to which their lives are controlled by accidental happenings.

    b. There really is no such thing as "luck."

19. a. One should always be willing to admit mistakes.

    b. It is usually best to cover up one's mistakes.

20. a. It is hard to know whether or not a person really likes you.

    b. How many friends you have depends upon how nice a person you are.

21. a. In the long run the bad things that happen to us are balanced by the good ones.

    b. Most misfortunes are the result of lack of ability, ignorance, laziness, or all three.

22. a. With enough effort we can wipe out political corruption.

    b. It is difficult for people to have much control over the things politicians do in office.

23. a. Sometimes I can't understand how teachers arrive at the grades they give.

    b. There is a direct connection between how hard I study and the grades I get.

24. a. A good leader expects people to decide for themselves what they should do.

    b. A good leader makes it clear to everybody what their jobs are.

25. a. Many times I feel that I have little influence over the things that happen to me.

    b. It is impossible for me to believe that chance or luck plays an important role in my life.

26. a. People are lonely because they don't try to be friendly.

    b. There's not much use in trying too hard to please people, if they like you, they like you.

27. a. There is too much emphasis on athletics in high school.

    b. Team sports are an excellent way to build character.

28. a. What happens to me is my own doing.

    b. Sometimes I feel that I don't have enough control over the direction that my life is taking.

29. a. Most of the time I can't understand why politicians behave the way they do.

    b. In the long run the people are responsible for bad government on a national as well as on a local level.

RESIDENT ATTITUDE QUESTIONNAIRE

PART I: INSTITUTIONAL ATTITUDE

Directions: Please rate your overall satisfaction with each of the following aspects of the Reformatory. Circle the letters that best describe your opinion.

VS means you are Very Satisfied
S means you are Satisfied
N means you are Neither satisfied or dissatisfied
D means you are Dissatisfied
VD means you are Very Dissatisfied

SATISFACTION WITH INSTITUTION

	Very satisfied	Satisfied	Neither	Dissatisfied	Very dissatisfied
1. How would you rate your overall satisfaction with the functional unit management system at Algoa?	VS	S	N	D	VD
2. How would you rate your overall satisfaction with the amount of authority Units have in decision-making at Algoa?	VS	S	N	D	VD
3. How would you rate your overall satisfaction with the amount of safety for residents at Algoa?	VS	S	N	D	VD
4. How would you rate your overall satisfaction with residents' freedom of movement at Algoa?	VS	S	N	D	VD
5. How would you rate your overall satisfaction with the team classification system at Algoa?	VS	S	N	D	VD

SATISFACTION WITH UNIT PROCESSES?

	Very satisfied	Satisfied	Neither	Dissatisfied	Very dissatisfied
6. How would you rate your overall satisfaction with the amount of "say" residents have in team meetings?	VS	S	N	D	VD
7. How would you rate your overall satisfaction with your Unit?	VS	S	N	D	VD
8. How would you rate your overall satisfaction with the number of Unit team meetings per week?	VS	S	N	D	VD

	Very satisfied	Satisfied	Neither	Dissatisfied	Very Dissatisfied

9. How would you rate your overall satis-faction with the disciplinary procedures at Algoa?   VS   S   N   D   VD

10. How would you rate your overall satis-faction with the fairness of grievance procedures for residents?   VS   S   N   D   VD

SATISFACTION WITH STAFF

11. How would you rate your overall satis-faction with the relationship between staff and residents at Algoa?   VS   S   N   D   VD

12. How would you rate your overall satis-faction with the ratio of staff members per resident at Algoa?   VS   S   N   D   VD

13. How would you rate your overall satis-faction with staff support of resi-dents at Algoa?   VS   S   N   D   VD

14. How would you rate your overall satis-faction with the amount of communica-tion between staff and residents at Algoa?   VS   S   N   D   VD

15. How would you rate your overall satis-faction with the availability of Unit staff during evenings and weekends?   VS   S   N   D   VD

16. How would you rate your overall satis-faction with the fairness in the way guards write up violations on residents?   VS   S   N   D   VD

17. How would you rate your overall satis-faction with the way Unit staff resolves residents' problems?   VS   S   N   D   VD

SATISFACTION WITH TREATMENT PROGRAMS

18. How would you rate your overall satis-faction with the work and educational opportunities for residents at Algoa?   VS   S   N   D   VD

	Very Satisfied	Satisfied	Neither	Dissatisfied	Very Dissatisfied

19. How would you rate your overall satis-faction with treatment programs at Algoa?   VS   S   N   D   VD

SATISFACTION WITH UNIT CONDITIONS

20. How would you rate your overall satis-faction with the cleanliness of your Unit?   VS   S   N   D   VD

21. How would you rate your overall satis-faction with the custody level system for dorm assignment at Algoa?   VS   S   N   D   VD

PART II: PERSONAL INFORMATION

Directions: Make a check in the proper blank or fill in the answer.

1. What is your Unit assignment? (check one)

     Unit 1   _____

     Unit 2   _____

     Unit 3   _____

     Unit 4   _____

2. Is this your first time incarcerated?

     Yes   _____

     No   _____

If No, how many times were you incarcerated before and where?

_____

3. Is this your first time at Algoa?

     Yes   _____

     No   _____

If No, when were you at Algoa before and for how long?

_____

4. For what type offense were you convicted and sentenced to Algoa?

_____

5. How long were you sentenced to serve at Algoa?

_____ months

6. How long have you served at Algoa so far?

_____ months _____ days

7. What is your age?

_____ years

8. What is your race? (check one)

_____ White _____ Black _____ Other

9. How large was the town or city in which you spent most of your years growing up?

Rural or Farm Community (under 2,000) _____

Small Town (2,000 to 20,000) _____

Small City (20,000 to 100,000) _____

Large City (100,000 to 250,000) _____

Major Metropolitan Area (over 250,000 total) _____

10. What is the highest level of education you have completed? (check one)

Some grade school _____

Completed grade school _____

Some high school _____

Completed high school _____

Some college _____

Bachelor's degree _____

Some graduate work _____

STAFF ATTITUDE QUESTIONNAIRE

PART I: INSTITUTIONAL ATTITUDE

Directions: Please rate your overall satisfaction with each of the following aspects of the Reformatory. Circle the letters that best describe your opinion.

VS means you are Very Satisfied
S means you are Satisfied
N means you are Neither satisfied or dissatisfied
D means you are Dissatisfied
VD means you are Very Dissatisfied

SATISFACTION WITH INSTITUTION

	Very Satisfied	Satisfied	Neither	Dissatisfied	Very Dissatisfied
1. How would you rate your overall satisfaction with the functional unit management system at Algoa?	VS	S	N	D	VD
2. How would you rate your overall satisfaction with the amount of authority Units have in decision-making at Algoa?	VS	S	N	D	VD
3. How would you rate your overall satisfaction with the amount of safety for residents at Algoa?	VS	S	N	D	VD
4. How would you rate your overall satisfaction with residents' freedom of movement at Algoa?	VS	S	N	D	VD
5. How would you rate your overall satisfaction with the team classification system at Algoa?	VS	S	N	D	VD

SATISFACTION WITH UNIT PROCESSES

	Very Satisfied	Satisfied	Neither	Dissatisfied	Very Dissatisfied
6. How would you rate your overall satisfaction with the amount of "say" residents at Algoa have in team meetings?	VS	S	N	D	VD
7. How would you rate your overall satisfaction with the Unit system at Algoa?	VS	S	N	D	VD
8. How would you rate your overall satisfaction with the number of Unit team meetings per week?	VS	S	N	D	VD

	Very Satisfied	Satisfied	Neither	Dissatisfied	Very Dissatisfied
9. How would you rate your overall satisfaction with the disciplinary procedures for residents?	VS	S	N	D	VD
10. How would you rate your overall satisfaction with the fairness of grievance procedures for residents?	VS	S	N	D	VD

SATISFACTION WITH STAFF

	Very Satisfied	Satisfied	Neither	Dissatisfied	Very Dissatisfied
11. How would you rate your overall satisfaction with the relationship between staff and residents at Algoa?	VS	S	N	D	VD
12. How would you rate your overall satisfaction with the ratio of staff members per resident at Algoa?	VS	S	N	D	VD
13. How would you rate your overall satisfaction with staff support of residents at Algoa?	VS	S	N	D	VD
14. How would you rate your overall satisfaction with the amount of communication between staff and residents at Algoa?	VS	S	N	D	VD
15. How would you rate your overall satisfaction with the availability of Unit staff during evenings and weekends?	VS	S	N	D	VD
16. How would you rate your overall satisfaction with the fairness in the way guards write up violations on residents?	VS	S	N	D	VD
17. How would you rate your overall satisfaction with the way Unit staff resolves residents' problems?	VS	S	N	D	VD

SATISFACTION WITH TREATMENT PROGRAMS

	Very Satisfied	Satisfied	Neither	Dissatisfied	Very Dissatisfied
18. How would you rate your overall satisfaction with the work and educational opportunities for residents at Algoa?	VS	S	N	D	VD

	Very satisfied	Satisfied	Neither	Dissatisfied	Very Dissatisfied
19. How would you rate your overall satisfaction with treatment programs for residents at Algoa?	VS	S	N	D	VD

SATISFACTION WITH UNIT CONDITIONS

	Very satisfied	Satisfied	Neither	Dissatisfied	Very Dissatisfied
20. How would you rate your overall satisfaction with the custody level system for dorm assignment at Algoa?	VS	S	N	D	VD
21. How would you rate your overall satisfaction with the cleanliness of the unit dorms?	VS	S	N	D	VD

PART II: PERSONAL INFORMATION

Directions: Make a check in the proper blank or fill in the answer.

1. Job Title _____

2. How long have you worked in this position?

_____ years _____ months

3. Are you a member of a Unit at Algoa?

_____ Yes

_____ No

4. How long have you worked at Algoa?

_____ years _____ months

5. How long have you worked for the Division of Corrections?

_____ years _____ months

6. What is your age? _____ years

7. What is your sex? (check one)

_____ Male _____ Female

8. What is your race? (check one)

White _____ Black _____ Other _____

9. How large was the town or city in which you spent most of your years growing up? (check one)

Rural or Farm Community (under 2,000) _____

Small Town (2,000 to 20,000) _____

Small City (20,000 to 100,000) _____

Large City (100,000 to 250,000) _____

Major Metropolitan Area (over 250,000 total) _____

10. What is the highest level of education you have completed? (check one)

Some grade school _____

Completed grade school _____

Some high school _____

Completed high school _____

Some college _____

Bachelor's degree _____

Some graduate work _____

SURVEY CONSENT FORM

I understand that my participation in this study is voluntary and that all of my responses will be kept anonymous and confidential in a locked file outside the Reformatory. I further realize that my individual responses will be used solely for the purpose of this study and will not be made available to anyone in the Division of Corrections.

_____

Signature   Date

PARTICIPANT OBSERVATIONAL

DATA COLLECTION INSTRUMENTS

OBSERVATIONAL SCHEDULE FOR INFORMAL INTERACTION BETWEEN INMATES AND STAFF

1. Date _____   Unit # _____

2. Interaction # _____

3. Time of Interaction _____

4. Location of Interaction _____

5. Number of Staff Present and the Location
   Position of Staff Members
   1._____
   2._____
   3._____

6. Number of Inmates Present in the Location _____

7. Number of Staff Members Involved in the Interaction
   Position of Staff Members
   1._____
   2._____
   3._____

8. Race and Custody Level of the Inmate Involved in the Interaction
   Race _____
   Custody Level _____

9. The Most Intense Type of Interaction which Occurred During the Interaction Case
   Type I Interaction _____
   Type II Interaction _____
   Type III Interaction _____

10. Length of Interaction (minutes) _____

11. What was the climate of Interaction?
    JOVIAL   FRIENDLY, BUT TO THE POINT   SERIOUS   HOSTILE
    1   2   3   4

    _____   _____   _____   _____

12. What Style of Speech did the Inmate Use?
    Informal, Prison Jargon/Street Talk _____
    Formal, Yes Sir, No Sir, etc. _____

13. Was the Inmate Denied Interaction? _____
    if so, for what reason _____

14. Methodological Comments (if any) _____

    _____

    _____

    _____

OBSERVATIONAL SCHEDULE FOR DECISION-MAKING IN THE TEAM MEETINGS

1. Unit # _____

2. Date _____

3. Case # _____

4. Purpose of Case

   _____Violation   _____Specify Violation_____

   _____Review

   _____Investigation

   _____Other   Specify_____

5. Custody Level of Inmate

   _____Honor

   _____Medium

   _____Closed

   _____Protective Custody

   _____Punitive Segregation

6. Number of Staff Members Present _____

   Position of Staff Members   _____

                                   _____

                                   _____

                                   _____

7. Time Taken for Case (minutes) _____

8. What was the Climate of the Case

   JOVIAL   FRIENDLY, BUT TO THE POINT   SERIOUS   HOSTILE
   1   2   3   4

   _____   _____   _____   _____

9. Methodological Comments (if any)

   _____

   _____

   _____

PARTICIPANTS / INDICATORS	INMATE	CORRECTIONAL OFFICER	UNIT MANAGER	CASEWORKER	CLASSIFICATION ASSISTANT	PAROLE REPRESENTATIVE	EDUCATION REPRESENTATIV
explains the case							
gives analysis of present case							
asks about inmate's job/school							
asks about inmate's home situation							
asks for information from inmate's record							
gives information from inmate's record							
asks for an expression of opinion							
suggest a solution							
gives support of his suggestion							
suggest an alternative to someone else's solution							
supports someone else's solution							
makes negative statements about inmate/staff member							
makes positive statements about inmate/staff member							
gives directions							
OUTCOME							
gave suggestion which resulted in final outcome							
verbally agreed with final outcome							
gave a lecture to the inmate							
gave a rational for final outcome							
inmate signed the report							
disagreed with final outcome							

APPENDIX B

SUPPORTING TABLES

Tables Related to Chapter 3 -- Evaluation Methods

SUMMARY OF ITEM ANALYSIS AND RELIABILITY DATA
FOR RESIDENT ATTITUDE QUESTIONNAIRE AND STAFF ATTITUDE QUESTIONNAIRE

Subscale/ Item Number	RESIDENT ATTITUDE QUESTIONNAIRE (N=143)				STAFF ATTITUDE QUESTIONNAIRE (N=134)			
	Mean	Std.Dev.	Subscale Correlation	Total Scale Correlation	Mean	Std.Dev.	Subscale Correlation	Total Scale Correlation
Satisfaction with Institution								
1	2.66	1.20	.759	.718	3.21	1.10	.833	.775
2	2.63	1.25	.656	.575	3.07	1.18	.732	.646
3	2.61	1.32	.650	.494	3.56	1.03	.523	.476
4	2.80	1.28	.612	.490	3.32	1.22	.648	.501
5	2.71	1.24	.711	.651	3.20	1.20	.831	.708
Subscale Totals	13.42	4.26	--	.862	16.35	4.09	--	.868
			$\propto$ = .704				$\propto$ = .757	
Satisfaction with Unit Processes								
6	2.30	1.30	.696	.595	3.26	1.15	.802	.704
7	2.85	1.26	.707	.614	3.11	1.17	.774	.743
8	2.72	1.16	.543	.409	3.38	1.02	.769	.679
9	2.52	1.27	.683	.634	2.87	1.28	.784	.703
10	2.19	1.24	.746	.621	3.44	1.16	.766	.668
Subscale Totals	12.60	4.20	--	.853	16.07	4.49	--	.899
			$\propto$ = .699				$\propto$ = .834	
Satisfaction with Staff								
11	2.68	1.16	.640	.593	3.44	1.01	.658	.626
12	2.74	1.13	.615	.566	2.77	1.16	.465	.312
13	2.48	1.20	.721	.645	3.29	1.03	.755	.634
14	2.50	1.22	.722	.670	3.26	1.05	.788	.671
15	2.53	1.20	.612	.516	3.23	1.05	.621	.553
16	1.86	1.08	.556	.492	3.40	1.07	.497	.403
17	2.38	1.23	.781	.748	3.08	1.14	.720	.795
Subscale Totals	17.18	5.47	--	.911	22.46	4.79	--	.887
			$\propto$ = .790				$\propto$ = .756	
Satisfaction with Treatment Programs								
18	3.27	1.38	.858	.460	3.68	1.10	.895	.515
19	2.70	1.25	.825	.563	3.47	1.07	.889	.603
Subscale Totals	5.98	2.21	--	.605	7.13	1.92	--	.626
			$\propto$ = .580				$\propto$ = .722	
Satisfaction with Unit Conditions								
20	3.15	1.30	.864	.615	3.42	1.11	.806	.527
21	3.13	1.23	.849	.612	3.29	1.11	.807	.518
Subscale Totals	6.29	2.16	--	.716	6.69	1.77	--	.648
			$\propto$ = .627				$\propto$ = .427	
Total Scale	55.47	15.11			68.69	14.18		
			$\propto$ = .903				$\propto$ = .906	

Tables Related to Chapter 4 --
Participant-Observation Results

<u>RESIDENT'S COMMENTS IN TEAM MEETINGS BY UNIT</u>

TYPE OF COMMENT	ALL UNITS N=200	UNIT 1 N=50	UNIT 2 N=50	UNIT 3 N=50	UNIT 4 N=50	F/prob.
Explanation Of Present Case						
$\overline{X}$	5.71	6.84	4.48	6.08	5.42	F=6.73
SD	2.85	3.38	2.62	2.18	2.60	p≤.001
History						
$\overline{X}$	0.82	1.04	0.38	0.78	1.06	F=6.69
SD	0.90	0.99	0.57	0.91	0.93	p≤.001
Solutions						
$\overline{X}$	0.04	0.02	0.04	0.04	0.06	F=0.34
SD	0.20	0.14	0.20	0.20	0.24	n.s.
Evaluative						
$\overline{X}$	0.28	0.42	0.18	0.46	0.06	F=2.06
SD	0.95	1.37	0.63	1.09	0.31	n.s.
Directions						
$\overline{X}$	0.01	0.02	0.00	0.00	0.00	F=1.00
SD	0.07	0.14	0.00	0.00	0.00	n.s.
Additional Outcomes*						
$\overline{X}$						
SD						
Total Participation						
$\overline{X}$	6.85	8.34	5.08	7.36	6.60	F=7.97
SD	3.62	4.53	3.16	2.86	2.96	p≤.001

* Resident's were not observed participating with outcome statements.

<u>UNIT MANAGER'S COMMENTS IN</u>
<u>TEAM CLASSIFICATION MEETINGS</u>

TYPE OF COMMENT	ALL UNITS N=200	UNIT 1 N=50	UNIT 2 N=50	UNIT 3 N=50	UNIT 4 N=50	F/prob.
Explanation Of Present Case						
$\overline{X}$	1.24	1.54	0.44	1.22	1.74	F=6.80
SD	1.62	1.68	0.64	1.45	2.07	p≤.001
History						
$\overline{X}$	0.50	0.76	0.26	0.36	0.62	F=4.64
SD	0.78	1.00	0.49	0.53	0.88	p≤.005
Solutions						
$\overline{X}$	0.44	0.52	0.26	0.44	0.54	F=2.54
SD	0.57	0.65	0.44	0.58	0.58	n.s.
Evaluative						
$\overline{X}$	0.27	0.26	0.22	0.36	0.24	F=0.27
SD	0.84	1.31	0.55	0.72	0.56	n.s.
Directions						
$\overline{X}$	0.19	0.14	0.06	0.10	0.44	F=7.41
SD	0.47	0.40	0.24	0.36	0.67	p≤.001
Additional Outcomes						
$\overline{X}$	0.78	0.92	1.06	0.54	0.60	F=4.30
SD	0.87	0.92	1.06	0.71	0.67	p≤.01
Total Participation						
$\overline{X}$	3.41	4.14	2.30	3.02	4.18	F=4.41
SD	3.16	3.69	1.89	2.61	3.73	p≤.01

CASEWORKERS' COMMENTS IN TEAM CLASSIFICATION MEETINGS

TYPE OF COMMENT	ALL UNITS N=150	UNIT 1 N=50	UNIT 2 N=50	UNIT 3 N=50	UNIT 4	F/prob.
Explanation Of Present Case						
$\overline{X}$	2.33	3.30	2.04	1.64	*	F=13.46
SD	1.80	2.19	1.31	1.37		p ≤ .001
History						
$\overline{X}$	0.81	1.16	0.44	0.84	*	F= 6.39
SD	1.05	1.23	0.67	1.04		p ≤ .005
Solutions						
$\overline{X}$	0.79	0.98	0.88	0.52	*	F= 7.58
SD	0.65	0.65	0.55	0.65		p ≤ .001
Evaluative						
$\overline{X}$	0.22	0.30	0.14	0.22	*	F= 1.51
SD	0.46	0.54	0.35	0.46		n.s.
Directions						
$\overline{X}$	0.46	0.60	0.52	0.26	*	F= 4.29
SD	0.62	0.61	0.65	0.56		p ≤ .05
Additional Outcomes						
$\overline{X}$	0.95	0.90	0.90	1.04	*	F= 0.22
SD	1.22	1.07	1.40	1.19		n.s.
Total Participation						
$\overline{X}$	5.56	7.24	4.92	4.52	*	F=10.00
SD	3.48	3.69	2.43	3.58		p ≤ .001

* No Caseworker on Unit 4 during data collection.

CLASSIFICATION ASSISTANTS' COMMENTS IN TEAM CLASSIFICATION MEETINGS

TYPE OF COMMENT	ALL UNITS N=200	UNIT 1 N=50	UNIT 2 N=50	UNIT 3 N=50	UNIT 4 N=50	F/prob.
Explanation Of Present Case						
$\overline{X}$	1.48	0.86	1.08	1.64	2.32	F= 8.30
SD	1.69	1.29	1.34	1.86	1.82	p ≤ .001
History						
$\overline{X}$	0.94	0.34	0.98	1.02	1.42	F= 9.91
SD	1.07	0.69	0.94	1.13	1.18	p ≤ .001
Solutions						
$\overline{X}$	0.47	0.14	0.50	0.56	0.66	F= 7.18
SD	0.63	0.40	0.65	0.73	0.56	p ≤ .001
Evaluative						
$\overline{X}$	0.34	0.28	0.22	0.58	0.26	F= 3.41
SD	0.64	0.61	0.42	0.88	0.53	p ≤ .05
Directions						
$\overline{X}$	0.17	0.00	0.12	0.06	0.50	F=11.69
SD	0.50	0.00	0.33	0.24	0.84	p ≤ .001
Additional Outcomes						
$\overline{X}$	0.94	0.50	1.22	1.16	0.86	F= 6.60
SD	0.95	0.81	0.91	1.09	0.78	p ≤ .001
Total Participation						
$\overline{X}$	4.32	2.12	4.12	5.02	6.02	F=18.53
SD	3.07	2.32	1.97	3.13	3.27	p ≤ .001

CORRECTIONAL OFFICERS' COMMENTS
IN TEAM CLASSIFICATION MEETINGS

TYPE OF COMMENT	ALL UNITS N=200	UNIT 1 N=50	UNIT 2 N=50	UNIT 3 N=50	UNIT 4 N=50	F/prob.
Explanation Of Present Case						
$\overline{X}$	0.02	0.04	0.00	0.00	0.02	F= 0.73
SD	0.16	0.28	0.00	0.00	0.14	n.s.
History						
$\overline{X}$	0.03	0.00	0.00	0.00	0.10	F= 1.49
SD	0.78	0.00	0.00	0.00	0.34	n.s.
Solutions						
$\overline{X}$	0.00	0.00	0.00	0.00	0.00	-
SD	0.00	0.00	0.00	0.00	0.00	-
Evaluative						
$\overline{X}$	0.04	0.04	0.00	0.00	0.12	F= 2.80
SD	0.24	0.20	0.00	0.00	0.44	$p \leq .05$
Directions						
$\overline{X}$	0.01	0.02	0.00	0.00	0.00	F= 1.00
SD	0.07	0.14	0.00	0.00	0.00	n.s.
Additional Outcomes						
$\overline{X}$	0.10	0.24	0.00	0.00	0.16	F= 3.37
SD	0.47	0.74	0.00	0.00	0.55	$p \leq .05$
Total Participation						
$\overline{X}$	0.19	0.34	0.00	0.00	0.40	F=2.96
SD	0.90	1.06	0.00	0.00	1.41	$p \leq .05$

PAROLE REPRESENTATIVES' COMMENTS
IN TEAM CLASSIFICATION MEETINGS

TYPE OF COMMENT	ALL UNITS N=200	UNIT 1 N=50	UNIT 2 N=50	UNIT 3 N=50	UNIT 4 N=50	F/prob.
Explanation Of Present Case						
$\overline{X}$	0.79	0.80	0.34	1.36	0.64	F= 5.64
SD	1.32	1.41	0.85	1.56	1.16	$p \leq .001$
History						
$\overline{X}$	0.39	0.42	0.10	0.52	0.52	F= 3.54
SD	0.76	0.88	0.30	0.76	0.89	$p \leq .05$
Solutions						
$\overline{X}$	0.25	0.20	0.04	0.34	0.40	F= 4.74
SD	0.54	0.49	0.20	0.63	0.64	$p \leq .005$
Evaluative						
$\overline{X}$	0.12	0.32	0.10	0.16	0.20	F= 1.69
SD	0.51	0.71	0.30	0.42	0.49	n.s.
Directions						
$\overline{X}$	0.09	0.00	0.00	0.30	0.06	F= 7.90
SD	0.38	0.00	0.00	0.68	0.24	$p \leq .001$
Additional Outcomes						
$\overline{X}$	0.57	0.64	0.30	0.68	0.64	F= 1.72
SD	0.96	1.19	0.65	1.04	0.88	n.s.
Total Participation						
$\overline{X}$	2.28	2.38	0.88	3.36	2.46	F= 6.28
SD	3.01	3.26	1.81	3.15	3.12	$p \leq .001$

EDUCATIONAL REPRESENTATIVES' COMMENTS
IN TEAM CLASSIFICATION MEETINGS

TYPE OF COMMENT	ALL UNITS N=200	UNIT 1 N=50	UNIT 2 N=50	UNIT 3 N=50	UNIT 4 N=50	F/prob.
Explanation of Present Case						
$\overline{X}$	0.48	0.48	0.46	0.70	0.28	F= 1.29
SD	1.07	1.13	0.73	1.46	0.81	n.s.
History						
$\overline{X}$	0.22	0.10	0.22	0.48	0.08	F= 5.60
SD	0.57	0.36	0.51	0.86	0.27	$p \leq .001$
Solutions						
$\overline{X}$	0.09	0.02	0.24	0.08	0.02	F= 6.32
SD	0.30	0.14	0.48	0.27	0.14	$p \leq .001$
Evaluative						
$\overline{X}$	0.07	0.10	0.08	0.10	0.00	F= 1.07
SD	0.33	0.46	0.34	0.30	0.00	n.s.
Directions						
$\overline{X}$	0.02	0.00	0.02	0.04	0.00	F= 1.24
SD	0.12	0.00	0.14	0.20	0.00	n.s.
Additional Outcomes						
$\overline{X}$	0.66	0.68	1.04	0.52	0.40	F= 5.52
SD	0.87	0.82	1.07	0.76	0.64	$p \leq .005$
Total Participation						
$\overline{X}$	1.54	1.38	2.06	1.92	0.78	F= 3.94
SD	2.12	2.06	1.90	2.72	1.42	$p \leq .01$

Tables Related to Chapter 5 --
Survey of Residents and Staff

COMPARISON OF RESIDENT AND STAFF
MEAN CIES SUBSCALE SCORES

VARIABLES	RESIDENTS N=143		STAFF N=134		SIGNIFICANCE
Subscale[1]	$\overline{X}$	SD	$\overline{X}$	SD	t
Involvement	3.78	2.18	4.60	2.97	2.60**
Support	2.87	2.11	5.31	2.67	8.51***
Expressiveness	2.96	1.72	4.04	2.08	4.70***
Autonomy	3.34	1.97	4.75	2.29	5.48***
Practical Orientation	5.44	1.93	6.54	2.61	3.97***
Personal Problem Orientation	3.08	1.79	5.19	2.25	8.61***
Order and Organization	4.18	2.42	5.07	3.05	2.68**
Clarity	4.78	2.10	5.70	2.55	3.26**
Staff Control	6.39	1.40	5.03	2.27	5.96***

[1] All subscales except Expressiveness, Autonomy, Personal
Problem Orientation, and Staff Control could range from
0-10; these range from 0-9.

*$p \leq .05$; **$p \leq .01$; ***$p \leq .001$.

RESIDENT BREAKDOWN OF CIES
SUBSCALE RESULTS BY UNIT

VARIABLES[1]	UNIT 1 N=39	UNIT 2 N=31	UNIT 3 N=39	UNIT 4 N=34	SIGNIFICANCE F
Involvement					
$\overline{X}$	3.46	2.81	3.85	4.97	6.37***
SD	1.74	1.85	2.07	2.54	
Support					
$\overline{X}$	2.21	2.16	3.23	3.88	6.01***
SD	1.70	1.66	2.16	2.41	
Expressiveness					
$\overline{X}$	3.26	3.10	2.64	2.88	.92
SD	1.98	1.56	1.58	1.68	
Autonomy					
$\overline{X}$	2.51	3.35	3.08	4.56	7.84***
SD	1.50	1.74	1.77	2.31	
Practical Orientation					
$\overline{X}$	4.72	5.39	5.74	5.97	3.13*
SD	2.11	1.94	1.46	2.01	
Personal Problem Orientation					
$\overline{X}$	2.85	2.55	2.97	3.94	4.03***
SD	1.72	1.52	1.55	2.10	
Order and Organization					
$\overline{X}$	3.13	3.06	4.95	5.53	11.62***
SD	2.03	2.13	2.45	2.09	
Clarity					
$\overline{X}$	4.18	3.65	5.78	5.35	9.18***
SD	2.01	1.84	1.98	1.89	
Staff Control					
$\overline{X}$	6.15	6.52	6.56	6.35	.65
SD	1.35	1.48	1.30	1.54	

[1] The scale range for Involvement, Support, Practical Orientation, Order and
Organization and Clarity is 0-10; for Expressiveness, Autonomy, Personal
Problem Orientation and Staff Control, the range is 0-9.
*$p \leq .05$; **$p \leq .01$; ***$p \leq .001$.

STAFF BREAKDOWN OF CIES
SUBSCALE RESULTS BY JOB POSITION

VARIABLES[1]	MGMT. N=8	SECURITY N=59	PROFESSNL N=29	CLERICAL N=11	MISC. N=13	SIGNIFICANCE F
Involvement						
$\overline{X}$	6.37	4.51	4.90	5.09	4.54	.73
SD	3.42	2.90	3.20	3.02	3.02	
Support						
$\overline{X}$	6.88	5.37	5.83	5.18	4.46	1.20
SD	2.42	2.69	2.49	3.37	2.44	
Expressiveness						
$\overline{X}$	5.12	4.18	3.52	4.55	3.69	1.28
SD	2.23	1.68	2.13	2.62	2.93	
Autonomy						
$\overline{X}$	6.25	4.78	4.38	5.36	4.46	1.25
SD	1.75	2.18	2.35	2.50	2.99	
Practical Orientation						
$\overline{X}$	8.62	6.46	7.00	7.18	6.00	1.76
SD	.74	2.62	2.36	2.44	3.03	
Personal Problem Orientation						
$\overline{X}$	7.37	5.17	5.24	4.82	4.69	2.16 ↕
SD	1.06	2.14	2.28	2.48	2.69	
Order and Organization						
$\overline{X}$	7.12	4.86	5.62	5.36	5.38	1.16
SD	2.70	2.95	2.92	2.54	2.64	
Clarity						
$\overline{X}$	8.00	5.61	6.24	5.64	5.46	1.94
SD	1.31	2.46	2.44	2.98	2.50	
Staff Control						
$\overline{X}$	5.50	5.15	5.62	4.91	3.92	1.47
SD	1.31	2.14	2.19	2.34	2.47	

[1] The range for the subscales Involvement, Support, Practical Orientation, Order and Organization and Clarity is 0-10; for Expressiveness, Autonomy, Personal Problem Orientation and Staff Control, the range is 0-9.

*$p \leq .05$; **$p \leq .01$; ***$p \leq .001$; ↕ $p \leq .10$ (trend).

COMPARISON OF RESIDENT AND STAFF
MEAN TSCS SUBSCALE SCORES

VARIABLES[1]	RESIDENTS N=143		STAFF N=134		SIGNIFICANCE
	$\overline{X}$	SD	$\overline{X}$	SD	t
Self-Identity	88.52	5.91	89.71	4.02	1.48
Self-Satisfaction	88.47	6.08	89.47	4.41	1.57
Behavior	84.18	5.74	86.44	5.00	3.50***
Physical Self	51.31	4.54	51.98	3.17	1.43
Moral-Ethical Self	48.58	5.39	49.89	3.40	2.43*
Personal Self	51.16	4.55	53.33	4.59	3.95***
Family Self	55.77	5.28	54.42	3.91	2.43*
Social Self	54.28	4.57	56.00	2.89	3.77***
Total Positive	261.47	9.42	265.62	7.44	4.08***
Self-Criticism	38.73	6.37	32.56	4.43	9.41***

[1] The scale range for Self-Identity, Self-Satisfaction and Behavior = 30-150; Physical, Moral-Ethical, Personal, Family and Social Self range = 18-90; Total Positive Range = 90-450; and Self Criticism range - 10-50.

*$p \leq .05$; **$p \leq .01$; ***$p \leq .001$.

RESIDENT BREAKDOWN OF TSCS RESULTS BY UNIT

VARIABLES[1]	UNIT 1 N=39	UNIT 2 N=31	UNIT 3 N=39	UNIT 4 N=34	SIGNIFICANCE* F
Identity					
X̄	89.00	88.23	89.28	88.62	.21
SD	5.93	7.13	5.47	5.31	
Self Satisfaction					
X̄	89.40	89.00	87.08	88.50	1.07
SD	6.18	5.61	5.89	6.58	
Behavior					
X̄	82.36	85.19	85.13	84.26	2.03
SD	5.90	5.95	5.56	5.23	
Physical Self					
X̄	50.74	51.19	52.23	51.00	.79
SD	4.98	4.10	4.22	4.79	
Moral-Ethical Self					
X̄	47.49	48.84	48.85	49.29	.79
SD	6.66	4.11	5.13	5.13	
Personal Self					
X̄	51.56	51.84	50.56	50.76	.64
SD	4.89	3.67	4.17	5.31	
Family Self					
X̄	56.54	55.45	55.64	55.32	.40
SD	5.73	5.26	5.43	4.68	
Social Self					
X̄	54.31	54.52	53.77	54.62	.25
SD	3.91	5.48	4.58	4.53	
Total Positive Self					
X̄	260.77	262.42	261.49	261.38	.18
SD	8.87	10.88	8.17	10.27	
Self-Criticism					
X̄	38.80	38.65	38.82	38.65	.01
SD	7.10	7.09	5.71	5.76	

[1] The range for the subscales Physical Self, Moral-Ethical Self, Personal Self, Family Self, and Social Self is 18-90; for Identity, Self-Satisfaction, and Behavior the range is 30-150; the range for Self-Criticism is 10-100; and the range for Total Positive Self is 90-450.

*Results were not statistically significant.

STAFF BREAKDOWN OF TSCS RESULTS BY JOB POSITION

VARIABLES[1]	MGMT. N=8	SECURITY N=59	PROFESSNL N=29	CLERICAL N=11	MISC. N=13	SIGNIFICANCE
Identity						
X̄	91.12	88.75	91.66	88.36	89.85	3.13*
SD	4.22	3.92	4.67	3.50	2.82	
Self-Satisfaction						
X̄	88.37	89.19	88.66	90.27	91.54	1.05
SD	2.50	5.04	3.67	4.92	4.39	
Behavior						
X̄	85.38	85.68	88.14	88.82	84.46	2.42↕
SD	4.17	4.73	5.32	5.10	5.58	
Physical Self						
X̄	52.50	52.34	51.00	51.73	51.54	.98
SD	2.39	3.48	3.21	2.61	2.30	
Moral-Ethical Self						
X̄	48.50	49.22	51.48	48.82	49.23	2.98*
SD	1.41	3.50	3.56	3.16	2.24	
Personal Self						
X̄	53.50	51.42	55.76	56.09	54.46	6.54***
SD	2.56	4.37	4.78	3.33	4.41	
Family Self						
X̄	56.00	54.29	54.62	53.55	54.69	.48
SD	1.77	4.60	3.76	3.17	3.22	
Social Self						
X̄	55.37	56.34	55.59	57.27	55.92	.86
SD	2.26	3.25	2.64	3.26	2.40	
Total Positive Score						
X̄	265.87	263.61	268.45	267.45	265.85	2.36↕
SD	4.19	8.00	6.82	5.92	7.55	
Self-Criticism						
X̄	33.62	31.47	33.69	34.91	31.38	2.45*
SD	3.25	4.84	4.71	3.51	2.69	

[1] The range for the subscales Physical Self, Moral-Ethical Self, Personal Self, Family Self, and Social Self is 18-90; for Identity, Self Satisfaction, and Behavior the range is 30-150; the range for Self-Criticism is 10-100; and the range for Total Positive Score is 90-450.

*$p \leq .05$; **$p \leq .01$; ***$p \leq .001$; ↕ $p \leq .10$ (trend).

COMPARISON OF UNIT AND NON-UNIT
STAFF MEAN SUBSCALE SCORES

VARIABLES	UNIT STAFF N=38		NON-UNIT N=90		SIGNIFICANCE
Subscale[1]	$\overline{X}$	SD	$\overline{X}$	SD	t
Involvement	5.21	2.80	4.42	3.03	1.42
Support	6.03	2.11	5.04	2.77	2.11*
Expressiveness	4.08	1.68	4.08	2.21	0
Autonomy	4.90	2.02	4.77	2.37	.315
Practical Orientation	7.26	1.75	6.37	2.77	2.19*
Problem Solving	5.61	1.85	5.06	2.31	1.42
Order and Organization	5.90	2.79	4.81	3.03	1.97*
Clarity	6.58	2.04	5.48	2.61	2.56*
Staff Control	5.40	2.01	4.94	2.28	1.14

[1] All subscales except Expressiveness, Autonomy, Personal
Problem Orientation and Staff Control could range from
0-10; these range from 0-9.

*$p \leq .05$; **$p \leq .01$; ***$p \leq .001$.

APPENDIX C

USE OF OFFICIAL RECORDS

Use of Official Records

APPENDIX C

USE OF OFFICIAL RECORDS

Objectives three and four of our original proposal[1] were to review the records of the Division of Corrections and the Probation and Parole Division to collect relevant pre-commitment, institutional and post-release data on MIR residents. These objectives were included at the request of Reformatory officials who wanted to develop their capacity to conduct ongoing program evaluations using readily available data. This appendix will summarize problems associated with that review, the results we were able to obtain, and the possibilities available for continuing evaluation.

Problems Encountered. Although the use of official records should have provided a useful addition to our observational and survey data, two primary factors served to limit their value. First, although the Division of Corrections' records were made fully available, it proved to be quite difficult for us to identify a specific sample of residents for our designated time period (January-March, 1980). Second, the sample of parole releases from MIR with sufficient time on parole for follow-up were necessarily from a much earlier time period than for this evaluation.

The first problem was the more vexing. Personnel from the Division of Social Services, which maintains the computerized correctional records, were cooperative, but were unable to provide

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  See pp. 6-7 and 36 of this report

the specific data requested because of system changes they were undergoing. Computer tapes of Division of Corrections' data were made available to the researchers, along with appropriate documentation to permit access, but privacy regulations required that all identifying information had to be deleted. These deletions included such potentially relevant variables as offense and county of residence, among others, and significantly limited what could be done with the data.

Division records are computerized by individual resident. With identifying data removed, our only means of "drawing a sample" of MIR residents was to locate all MIR residents and isolate those with classification review dates after our designated period. This method proved to be cumbersome and of questionable precision. Although we proceeded to review records as thoroughly as time permitted, we did not have enough confidence in our results to utilize them in this evaluation.

The second problem was of a different order. Division of Probation and Parole records were made available, and in fact Division personnel collected all requested data on a sample of 100 released MIR residents. The difficulty was that post-release data could be useful only if a sufficiently long follow-up period were available, and the project schedule could not allow such a follow-up on residents in the Reformatory when other data were collected. Instead, residents paroled from MIR during 1978 were selected so that most could have enough time to complete parole. We were able to identify and collect relatively complete data on such a sample, but of course they were in the institution some two years earlier.

Nevertheless, we were able to conclude that much useful
data are potentially available in official records, and we believe
the following sections will demonstrate some of the possible uses
for evaluation. We will summarize the data available from each
source, demonstrate our results, and offer specific suggestions
as appropriate.

Division of Corrections' Records. Several types of information is
regularly entered into the data processing system. Personal data
include descriptions, I.Q., race, marital status, and identification
of relatives. Educational/Technical data include pre-commitment
level of education and technical skills, and current levels (after
institutional training). Official data include specifics of the
conviction, and whether any detainers are on file. Institutional
Assignment data include the institution, security level, unit or
team, and current status. Housing Assignment data include the
location and date of each specific assignment. Work Assignment data
include the type, date and wages for each assigned job. Violation
data include the type and charge for each disciplinary report, the
date and time, the officer involved, the classification team
involved, and specifics on disposition and reviews. Furlough and
Outcount data include each trip away from the institution, the dates
and reasons, and whether the resident returned.

Table C.1 summarizes information on violations, furloughs and
education for a sample of 100 residents identified as being at MIR
during the first half of 1980. As can be seen, significant vari-
ations were found in violation rates, with Unit 1 much higher, and

TABLE C.1

SUMMARY OF DATA FROM
DIVISION RECORDS ON MIR RESIDENTS*

		Unit 1 $N=25$	Unit 2 $N=25$	Unit 3 $N=25$	Unit 4 $N=25$
A. Violation Data**					
Total number of	$\bar{x}$	9.28	3.32	4.76	2.96
Violations	s.d.	9.36	5.01	6.63	4.66

$f = 4.60$ (3,96 d.f.), $p \leq .01$

B. Educational Data					
Current Educational	$\bar{x}$	10.04	10.32	10.28	9.60
Level (years)	s.d.	1.43	1.49	1.69	2.10

$f = 0.29$ (3.96 d.f.), n.s.

C. Furloughs Given					
Total Given		4	4	4	7

* Sampled from residents identified as being at MIR with review
dates between February and June, 1980.

** Total numbers of violations for each resident during entire period
of incarceration are presented. Since length of time incarcerated
varies, these data may have limited usefulness.

Unit 4 lower. Although these results would appear to support
other findings in this report, it must be emphasized that these
data are not from randomly sampled subjects; and that total numbers
of violations were included for each sampled resident. Since
residents had been incarcerated for varying lengths of time,
comparisons of average numbers of violations may have little mean-
ing.

Current levels of education may be somewhat more reliable,
and as can be seen relatively little variation was found. These
results appear to support survey findings reported previously.[2]
Few of our sample had increases in educational level reported (only
13 of the 100 residents overall) and these increases consistently
raised residents to the 12th grade levels of education, probably
by means of the GED. Each unit had one resident (of the sample)
recorded as having one year of technical skills while institution-
alized.

Relatively few furloughs were reported for our sampled
residents, and as can be seen from Table C.1 there was little
variation. Unit 4 appeared to give more furloughs, but this must
be considered an extremely tentative conclusion.

Table C.2 summarizes total violations, regardless of serious-
ness, by unit for the period from 1976-1979. As can be seen,
differences were relatively slight and varied from year to year.
Assuming relatively similar numbers of residents, these may reflect
changes of unit operation or policy over the years.

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[2] Table 5.1, page 105.

TABLE C.2

FOUR YEAR SUMMARY
OF VIOLATIONS BY UNIT

	1976		1977		1978		1979	
	f	%	f	%	f	%	f	%
Unit 1	(685)	21.5	(766)	23.6	(965)	28.4	(836)	27.0
Unit 2	(801)	25.1	(841)	25.9	(761)	22.4	(776)	25.1
Unit 3	(861)	27.0	(871)	26.8	(698)	20.6	(765)	24.7
Unit 4	(845)	26.5	(773)	23.8	(970)	28.6	(717)	23.2
TOTAL	(3192)	100.1	(3251)	100.1	(3394)	100.0	(3094)	100.0

For comparative purposes data are included here (from Cosgrove, 1980) provided by Reformatory personnel on total numbers of violations and commitments to segregation during January-March, 1980 for all residents. These data are summarized in Table C.3. As can be seen, Unit 2 had a much higher incidence of violations, both assaultive and non-assaultive, during these months. Not surprisingly, Unit 2 also made more commitments to segregation for more total time.

Although these results would appear to support findings in our evaluation, care must be taken in interpretation. Variation in violation/segregation may reflect differing unit operations, the presence of more problem residents, or both. These results do demonstrate, however, the type of measures readily available to correctional officials and useful for ongoing evaluation.

Probation and Parole Records. Several types of useful data are available from these records.[3] Identifying information includes descriptive data, sex, race, marital status, IQ, grade level, religion, address, education, occupation, and relatives, among other information. Offense data include current offense and prior records. Violation data include the date, type, and outcome of each parole violation. Closing data provides the date and type of closing, and specifics on each charge if the individual was revoked.

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[3] Probation and Parole data can be cross-referenced to Division of Corrections' records.

TABLE C.3

INCIDENCE OF VIOLATIONS AND COMMITMENT
TO SEGREGATION, BY UNIT (JANUARY-MARCH, 1980)[*]

	ALL UNITS	UNIT 1	UNIT 2	UNIT 3	UNIT 4
A. Violations Data					
1. Assaultive[**]	46	11	20	9	6
2. Non-Assaultive	730	164	234	170	162
B. Segregation Time Given					
1. No. of Sentences	280	66	97	80	37
2. Days	2413	457	836	618	402

[*] Includes all residents at the institution during observational period.

[**] Includes fighting, assault, forced sexual assault, manslaughter and murder.

Client Assessment data provides a summary of each assessment[4] done by the Supervising Officers.

The first 25 residents received on parole from MIR from each unit were identified and sampled. Thus these data are not the result of a random sample.

Table C.4 summarizes revocation and discharge data on the sampled residents. As can be seen, Unit 3 displayed significantly higher revocation rates. It is important to remember, however, that these data do not represent a random sample and that they were all paroled in 1978, thus reflecting a much earlier time period.

Tables C.5 and C.6 summarize results of the Client Assessment Scale ratings for the sample at the time of parole and again (for all who were available) after nine months on parole.[5] As can be seen from C.5, no ratings were found to vary across units at the time of release (where the impact of unit programming might be expected to be most pronounced). After nine months, Units 3 and 4 parolees were found to be significantly more likely to be arrest-free. Unit 4, in particular, appeared to demonstrate superior results in terms of recidivision. Again, we must emphasize that these data must be viewed with caution, and it must be remembered that they represent 1977 and 1978 MIR residents.

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[4] The client assessment scale (see attachment C.a) is completed for each client every three months, or more frequently if needed. Six relevant adjustment areas are rated, with responses weighted according to the degree of relationship with successful outcome.

[5] Selected because most parolees demonstrating good adjustment were discharged from parole before 12 months of supervision.

TABLE C.4

REVOCATION AND DISCHARGE RATES
BY UNIT (AT 24 MONTHS)

	ALL UNITS (f)	%	UNIT 1 (f)	%	UNIT 2 (f)	%	UNIT 3 (f)	%	UNIT 4 (f)	%
Revoked	(28)	28.0	(5)	20.0	(8)	32.0	(12)	48.0	(3)	12.0
Discharged	(62)	62.0	(18)	72.0	(16)	64.0	(12)	48.0	(16)	64.0
Still Open	(10)	10.0	(2)	8.0	(1)	4.0	(1)	4.0	(6)	24.0
	(100)	100.0	(25)	100.0	(25)	100.0	(25)	100.0	(25)	100.0

$x^2 = 14.60$, d.f. = 6, $p \leq .05$

TABLE C.5

CROSSTABULATION OF INITIAL CLIENT
ASSESSMENT SCALE VARIABLES BY UNIT*

	ALL UNITS N=95 (f)	%	UNIT 1 N=24 (f)	%	UNIT 2 N=23 (f)	%	UNIT 3 N=25 (f)	%	UNIT 4 N=23 (f)	%
A. Educational/Vocational										
Full-time employment	(45)	47.4	(12)	50.0	(13)	56.5	(9)	36.0	(11)	47.8
Partial/School	(30)	31.6	(7)	29.2	(7)	30.4	(6)	24.0	(10)	43.5
None	(20)	21.1	(5)	20.8	(3)	13.0	(10)	40.0	(2)	8.7

$x^2 = 9.30$, d.f. = 6, n.s.

B. Legal (past year)										
No arrests	(73)	76.8	(17)	70.8	(21)	91.3	(17)	68.0	(18)	78.3
Arrest, no conviction	(10)	10.5	(1)	4.2	(1)	4.3	(4)	16.0	(2)	8.7
Conviction	(13)	13.4	(5)	20.8	(1)	4.3	(4)	16.0	(3)	13.0

$x^2 = 6.11$, d.f. = 6, n.s.

C. Special Problems										
None	(13)	13.4	(6)	25.0	(1)	4.3	(4)	16.0	(2)	8.7
Potential	(68)	71.6	(14)	58.3	(19)	82.6	(16)	64.0	(19)	82.6
Existing	(14)	14.7	(4)	16.7	(3)	13.0	(5)	20.0	(2)	8.7

$x^2 = 6.94$, d.f. = 6, n.s.

D. Family/Social										
Stable	(10)	10.5	(4)	16.7	(1)	4.3	(1)	4.0	(4)	17.4
Potential disorganization	(74)	77.9	(17)	70.8	(20)	87.0	(21)	84.0	(18)	78.3
Major disorganization	(9)	9.5	(3)	12.5	(2)	8.7	(3)	12.0	(1)	4.3

$x^2 = 5.24$, d.f. = 6, n.s.

E. Aggressive/Assaultive (past year)										
None	(85)	89.5	(21)	87.5	(22)	95.1	(22)	88.0	(20)	87.0
One incident	(10)	10.5	(3)	12.5	(1)	4.3	(3)	12.0	(3)	13.0
Pattern	(0)	0.0	(0)	0.0	(0)	0.0	(0)	0.0	(0)	0.0

$x^2 = 1.27$, d.f. = 6, n.s.

F. Client Responsibility										
Good	(1)	1.1	(0)	0.0	(0)	0.0	(0)	0.0	(1)	4.3
Partial	(81)	85.3	(22)	91.7	(20)	87.0	(19)	76.0	(20)	87.0
Little	(13)	13.7	(2)	8.3	(3)	13.0	(6)	24.0	(2)	8.7

$x^2 = 7.27$, d.f. = 6, n.s.

G. Total Points										
High (25-31)	(4)	4.2	(1)	4.2	(0)	0.0	(0)	0.0	(3)	13.0
Medium (17-24)	(81)	85.3	(20)	83.3	(21)	91.3	(22)	88.0	(18)	78.3
Low (4-16)	(10)	10.5	(3)	12.5	(2)	8.7	(3)	12.0	(2)	8.7

$x^2 = 6.85$, d.f. = 6, n.s.

* N varies from 25 due to out of state supervision cases

TABLE C.6

CROSSTABULATION OF CLIENT ASSESSMENT
SCALE VARIABLES AT NINE MONTHS BY UNIT*

	ALL UNITS N=70 (f)	%	UNIT 1 N=16 (f)	%	UNIT 2 N=18 (f)	%	UNIT 3 N=16 (f)	%	UNIT 4 N=20 (f)	%
A. Educational/Vocational										
Full-time employment	(44)	62.9	(10)	62.5	(10)	55.6	(9)	56.3	(15)	75.0
Partial/School	(14)	20.0	(5)	31.3	(5)	27.8	(3)	18.8	(1)	5.0
None	(12)	17.1	(1)	6.3	(3)	16.7	(4)	25.0	(4)	20.0

$x^2 = 6.33$, d.f. = 6, n.s.

B. Legal Problems (past year)										
No arrests	(34)	48.6	(6)	37.5	(3)	16.7	(8)	50.0	(17)	85.0
Arrest, no conviction	(15)	21.4	(2)	12.5	(9)	50.0	(3)	18.8	(1)	5.0
Conviction	(21)	30.0	(8)	50.0	(6)	33.3	(5)	31.3	(2)	10.0

$x^2 = 24.55$, d.f. = 6, $p \leq .01$

C. Special Problems										
None	(16)	22.9	(4)	25.0	(2)	11.1	(6)	37.5	(4)	20.0
Potential	(46)	65.7	(10)	62.5	(13)	72.2	(7)	43.8	(16)	80.0
Existing	(8)	11.4	(2)	12.5	(3)	16.7	(3)	18.8	(0)	0.0

$x^2 = 8.07$, d.f. = 6, n.s.

D. Family/Social										
Stable	(15)	21.4	(5)	31.3	(4)	22.2	(3)	18.8	(3)	15.0
Potential Disorganization	(52)	74.3	(10)	62.5	(14)	77.8	(12)	75.0	(16)	80.0
Major Disorganization	(3)	4.3	(1)	6.3	(0)	0.0	(1)	6.3	(1)	5.0

$x^2 = 1.92$, d.f. = 6, n.s.

E. Aggressive/Assaultive (past year)										
None	(59)	84.3	(11)	68.8	(15)	83.3	(14)	87.5	(19)	95.0
One incident	(9)	12.9	(5)	31.3	(2)	11.1	(1)	6.3	(1)	5.0
Pattern	(2)	2.9	(0)	0.0	(1)	5.6	(1)	6.3	(0)	0.0

$x^2 = 8.64$, d.f. = 6, n.s.

F. Client Responsibility										
Good	(7)	10.0	(1)	6.3	(3)	16.7	(1)	6.3	(2)	10.0
Partial	(51)	72.9	(11)	68.8	(10)	55.6	(12)	75.0	(18)	90.0
Little	(12)	17.1	(4)	25.0	(5)	27.8	(3)	18.8	(0)	0.0

$x^2 = 8.06$, d.f. = 6, n.s.

G. Total Points										
High (25-31)	(12)	17.1	(3)	18.8	(4)	22.2	(3)	18.8	(2)	10.0
Medium (17-24)	(49)	70.0	(11)	68.8	(10)	55.6	(10)	62.5	(18)	90.0
Low (4-16)	(9)	12.9	(2)	12.5	(4)	22.2	(3)	18.8	(0)	0.0

$x^2 = 6.96$, d.f. = 6, n.s.

* N varies from 25 due to out of state supervision cases.

<u>Implications</u>. Although the foregoing results from official records must be viewed with caution, it seems clear that much useful information is readily available. We encourage development of a program of ongoing evaluation using these data.

Data on violations, furloughs, and other relevant variables can easily be obtained on a regular schedule for each unit.[6] Maintaining such data would permit easy comparison of units over time. Other comparative data can also be obtained by simply supplying a listing of residents comprising each unit's sample.

Similarly, it would be quite easy to follow the progress of each unit's parolees by requesting data on a regular (such as annually) basis from the Probation and Parole Division on revocations, discharges, client assessment ratings, etc. It is important that care be taken in interpreting the results of such follow-up data (although recidivism is, of course, the standard measure used in correctional evaluation) because many factors outside the control of the unit staff can affect post-release behavior. Nevertheless, it should be reasonable to expect residents from better operating units to adjust somewhat better to parole supervision.

Such ongoing data collection, coupled with regular assessment of institutional climate and attitudes of staff and residents[7] should provide the kind of feedback to refine unit management (or any other correctional program) for maximum effectiveness. We recommend implementation of such a program in each institution.

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[6] In fact, such data are regularly made available, but apparently have not been retained after review by MIR staff.

[7] See our recommendation on page 144, Chapter 6.

CLIENT ANALYSIS SCALE

Name _____ No. _____ Date _____

District _____

Educational/Vocational:

1 ☐   Not working or not in school

4 ☐   School, training or part-time work.

6 ☐   Full-time work, retired, or housewife

Legal:

1 ☐   One or more convictions and/or 2 or more arrests in past year or pending charge

3 ☐   No convictions, but one arrest in past year

4 ☐   No arrest or conviction in past year

＊Special Problems:

0 ☐   Indication of drug use, alcoholism, mental deficiency, or other special problems

2 ☐   Presence of problems which have potential of becoming serious and/or presently in treatment program

4 ☐   No indication of any special problems

Family/Social:

1 ☐   Major disorganization

3 ☐   Some disorganization but potential of growth

6 ☐   Relatively stable relationships

Aggressive / Assaultive:

1 ☐   Pattern of two or more incidents in past year

3 ☐   Prior incident in past year

4 ☐   No demonstrated aggressive behavior in past year

Client Responsibility:

1 ☐   Little or no understanding of himself or society's expectations

4 ☐   Partial understanding with behavior based on that understanding

6 ☐   Good self understanding with corresponding behavior

Drugs ☐

Alcohol ☐

Other

Special Code ☐

Subtotal _____
Subjective - or - 1 point or 0
Total _____

Legend - Points:

_____ Intensive 4-16 ☐
_____ Regular 16-25 ☐
_____ Minimum 25-31 ☐

END