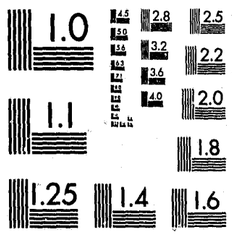
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U.S. Department of Justice
Law Enforcement Assistance Administration

Criminal Justice Planning and Management Series

Volume 3

Criminal Justice Program Development Course:

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U.S. Department of Justice
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Criminal Justice Planning and Management Series

Volume 3

Criminal Justice Program Development Course:

Instructor Guide

Instructor Guide

PROGRAM DEVELOPMENT COURSE

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PROGRAM DEVELOPMENT COURSE MATERIALS

Module 1

INTRODUCTION TO PROGRAM DEVELOPMENT

These course materials were prepared by the American Institutes for Research, Washington, D.C., for the Law Enforcement Assistance Administration under Contract No. J-LEAA-025-78. The contents do not necessarily represent the views or the official position or the policies of the U.S. Department of Justice.

Notes and Comments

Module I: Introduction to Program Development
Segment A

INSTRUCTOR's GUIDE

1. Introduction to the Module.

   a. The most critical part of a training course is the first several hours, when images and expectations are established for the rest of the course.

   b. It is important that we get a good start for this course because:

   - The subject matter is as much process-oriented and philosophical as it is skill- and product-oriented. We will require a lot of thinking as well as doing.
   - We will be talking about a mixture of familiar concepts, and new concepts that may sound familiar. Separating them will not always be easy.
   - We will be building a model for doing things that is very ambitious. You will have to translate what we recommend to what you can actually do in your own job setting.

Notes and Comments

c. In this module, we will set the stage for the activities to follow. We will discuss the following topics:

- What is a program?
- What is program development?
- The importance and utility of Program Development.
- How this course relates to other training courses and the General Planning Process Model.
- The steps in the Program Development Process to be completed during the course.
- Decision points and the Decision Package.
- Skills and knowledge needed by program developers.
- The role of the program developer.

2. What is a Program?

a. In criminal justice planning, a program is defined as:

- Definition: A set of related efforts, under a common, general authority, which is designed to address a particular problem.

b. This definition tells us that a program is:

- Complex, in that it is made of a set of efforts
- Integrated, in that it is made up of related efforts
- Unified, in that it operates under a common, general authority, e.g., a program manager, an agency head or executive, or a public offial; and
- Focused, in that it is designed to address a particular problem.

c. Programs are often contrasted with projects.

- Definition: A project is a planned intervention at one or more sites, which is under the direction of a specific manager and which operationalizes a set of closely related activities.

d. Clearly, the distinction between a program and a project is a relative one. To clarify the distinction, programs are said:

- To encompass more than one project
- To be bigger
- To cost more
- To take longer
- To deal with bigger issues or problem areas
- To impact more people

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- To cover a wider geographical area
- To involve a wider variety of agencies or jurisdictions
- And to have a more complex management structure than projects.

e. All of these things may be true, but they do not capture some of the essential characteristics of a program.

- First, a program is designed to bridge the gap between a problem and a goal. (e.g., from low conviction rate to an improved conviction rate, from too much arson to less arson, from juvenile incarceration to juvenile diversion.)
  - If you don't have a complete and comprehensive understanding of the problem you are trying to solve or address, you don't have a solid base to build on, and you aren't going to have an effective program.
  - And if you don't have well-defined and agreed-upon goals toward which you are directing your energies, you cannot have an effective program.
- A second point is that a program, to be a program, should address all of the important components of a problem, not just one or a few. Unlike a project, a program

Emphasize this point

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should be designed to address the problem as a whole in a relatively comprehensive way.

- Example: To help you understand the difference between a program and a project, the analogy of a baseball team may be used. A baseball team is made up of individual players each of whom perform a specific job--i.e., bat, catch, pitch, field, etc. The individual players are analogous to individual projects and the team as a whole can be thought of as the overall program. In order for the team to win, each player (project) must carry out his or her function; a team could not win if it ignores the need for an outfielder or a catcher. In the same way a program cannot succeed as a program if it ignores one or more important components of the problem it is trying to solve.

f. There are several different kinds of programs.

- A program may consist of many different kinds of projects. Some could provide employment services, some could attempt to educate the public, some could provide training to persons in the criminal justice system.

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- The court is oriented to refer juveniles to the job training element of the program which operates in cooperation with a counseling project (Refer to visual).

- The counseling project advizes the police and perhaps provides instructors in the police training project (Refer to visual).

3. What is Program Development?

   a. We will now define program development as used in this course.

      - Definition: Program development is the process of identifying, selecting, and designing one or more systems-oriented strategies made up of complementary

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projects and activities, to produce goal-directed changes in specific criminal justice problem areas.

   b. Program development is first of all a process which means it can or should be carried out in a series of steps.

      - The process as described here is mostly linear. In reality, program development involves a variety of processes which may be going on simultaneously or with long gaps in between.
      - Program development also involves some "backing and filling." The process may appear to progress from one step to the next, but there are going to be times when decisions must be un-made, rethought and reworked.

   c. Program development is a process of identifying, selecting and designing.

      - Part of the process involves uncovering ideas, concepts and resources that exist already.
      - Part of the process involves making choices and decisions.
      - Part of the process involves the design of ideas and concepts from the ground up

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or organizing existing resources or ideas into new configurations.

d. Program development is a process of identifying, selecting and designing system-oriented strategies.
   - The process encompasses all aspects of criminal justice and other systems as well.
   - The process does not draw arbitrary boundaries on how far the program can or should extend.
   - The process may also entail multiple strategies.

e. The strategies tend to be complex in that they are made up of many projects or activities. We call these parts of the program the elements of the program.
   - The projects and activities should also be complementary in that they should be integrated and coordinated with each other.

f. The purpose of program development is to produce goal-directed changes.
   - Goals--specifically strategic goals--are what drive program development and provide the unity which holds the process together.

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g. The changes are to take place in specific criminal justice problem areas.
   - Part of the process involves defining, describing and understanding the problem to be addressed.

h. We can now define a Program as the product of the program development process. If you follow the program development process, you will have, by definition, produced a program.
   - This definition of program development is in your Student Guide. Please read it over yourself and ask any questions you may have up to this point.

4. The Importance and Use of Program Development.

a. Now that you know what a program is, and what we mean when we talk about program development, the next question is, "Why should I be concerned about program development in my agency?"

b. The answer to that question relates to two historical facts about much of criminal justice planning:
   - In the past, much of what has been called program development has been little more than directing or redirecting money

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toward certain problems, with very little thinking about how that money could or should be used. The diversity of the efforts being supported may be justified as necessary to develop innovative and experimental approaches. However, the result too often has been a collection of individual projects with little or no logical or organizational connection with each other, or the rest of the CJ system, and--most tragically--very little impact on the problems being addressed.

- The second fact is that the era when funds to support new and innovative approaches to criminal justice problems--particularly federal funds--appears to be drawing to a close. Consequently, criminal justice planners may not have the luxury of funding a broad variety of efforts and may be held more accountable for demonstrating the effectiveness of what is done, i.e. demonstrating real impact.

c. The approach discussed in this course is aimed at maximizing the impact of programs and minimizing the risks involved in developing programs.

- Note that we do not say "guarantee impact" or "eliminate risks."

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d. The process we describe in this course is useful for persons in large planning agencies or operating agencies as well as for persons working at the local level or in smaller operating agencies.

- The course attempts to provide a system or <u>way of thinking</u> about program development that is common to all problem-solving efforts at every level.
- It is possible to develop a program within a single neighborhood or police precinct using this process.

e. Thinking at the program level is particularly important at this time when the money for starting new programs and projects is decreasing.

- Because money is scarce, it is important for the program developer to be certain when he or she proposes a new effort that the money will be spent wisely and have the greatest possibility of succeeding; this process is designed to maximize the program developer's confidence in his or her plans.
- The process also has built-in steps which help the program developer think about ways of saving money and resources and of better using the resources that are already available.

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- The process also provides safeguards to avoid duplication of effort and the sharing and collapsing of tasks.

f. The program development process as described here does not only apply to the creation of "new" efforts or the spending of new money--the process can also be used to improve, upgrade, or reorganize what people are already doing in the system.

- Solving problems does not always require setting up a new project with new staff, new offices or new equipment; some problems can simply be resolved by helping two existing or departments work together more efficiently or building better communications between them.

g. Finally, because this process requires the program developer to take a broad, comprehensive view of problems, the process helps the program developer decide where to put his or her resources so that the impact on the problem will be the greatest.

- The process attempts to avoid the tendency to "pick away" at problems by starting individual projects that sound good at the time but which have no real effect on the problem as a whole.

5. How This Course Relates to Other Courses.

a. This course is one of a series of courses offered by the Criminal Justice Training Centers. The other courses are:

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- The Criminal Justice Planning Course,
- The Criminal Justice Analysis Course,
- The Criminal Justice Evaluation/Monitoring Course, and
- The Criminal Justice Management Course

b. Each of the courses covers a particular aspect of the planning process. The unifying concept around which each of these courses are designed is the General Planning Process Model.

Visual I-B

- Questions to the Participants: How many of you are familiar with this model?

c. The Model has 11 steps.

- Steps 1-5 are often called the normative steps. They say, "We ought to do so and so because."
- Steps 6-9 are referred to as the strategic steps. They tell us, "We can do so and so and how."
- Steps 10-11 are the operational steps. "We will do so and so and when."

d. The Criminal Justice Planning Course covers the entire GPPM at a general level.

- It provides an overview of the planning process as a whole, from the normative level planning (Steps 1-5), through strategic level planning (Steps 6-9), through operational level planning (Steps 10-11).

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- The other courses in the series focus on specific segments or specific aspects of the GPPM.

e. The Criminal Justice Analysis Course focuses on the identification and analysis of problems (Step 5).

- The Analysis Course builds upon the normative-level planning in Steps 1-4 and provides a major input to the Program Development process (Steps 6-9)

f. The Criminal Justice Evaluation/Monitoring Course focuses on Step 11 of the GPPM.

- The Evaluation/Monitoring Course focuses on the products of the Program Development process although the material is covered at the project level.

g. The Criminal Justice Management Course provides a management and decision-making perspective for the entire planning and implementation process.

- The Management Course focuses on the major decision points in the GPPM, including those in the Program Development Process.
- A decision point is a place in the process (the Program Development Process or the Management Process) at which a major choice must be made before further work can be commenced.

Notes and Comments

- The decision points include:
  - The establishment of normative goals and policies;
  - The selection of alternate strategic goals (Step 6);
  - The identification of alternative strategies that best address the strategic goals (Step 7);
  - The selection of preferred alternatives (Step 8);
  - The establishment of plans for implementation and evaluation (Step 9);
  - The modification of implementation plans based on monitoring and evaluation data (Step 11).

h. The Program Development Course begins with the definition of one or more problems.

- Problem definition is a product of the analysis process represented by Step 5, "Identifying and Analyzing Problems."

i. Program development continues through "Planning for Implementation and Evaluation" at Step 9.

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- The program development process does not involve itself with funding or operating the program. These steps are carried out in Steps 10 and 11.

j. The program development process also includes the following steps:

- Setting goals (Step 6);
- Identifying possible strategies for dealing with the problem (Step 7);
- Selecting those strategies that meet certain criteria of effectiveness (Step 8).

k. To summarize, the Program Development Course can be seen as covering at the practitioner level a major area in the planning process that moves from what should be done to what can be done, but stops short of actually doing it.

Notes and Comments

Visual I-C

6. The Steps to be Completed in This Course.

a. We have broken the Program Development process down into seven steps.

b. The first step in the Program Development process is to Develop an Understanding of the Problem.

- We know that not all problems lend themselves to Program Development. We also know that unless a problem is understood we cannnot expect to develop a sound approach to solving it.
- The Problem Statement is a document which provides the information we will need. It is a major product of the analysis process as taught in the Criminal Justice Analysis Course. We will focus on the Problem Statement in Module II of the course.

c. The second step is to Develop Priorities Among Problems.

- This step in the program development process determines the relative importance of those problems that are well-defined.

- This step involves developing an understanding of a problem in relation to other problems in the system.
- This step is also covered in Module II.
- (Give scheduled time for Module II.)

d. The third step: Develop Strategic Goals.

- Goal development is a process that may well have started earlier in the planning cycle at the normative level--we "should" or we "ought" to do something about a concern or problem.
- This step involves developing strategic goals based on the understanding we gained in assessing the problem statement.
- We call these more specific goals strategic goals for they determine the strategies we will select for dealing with the problem.
- As the visual illustrates, there is a decision point here; a decision must be made by your advisory/supervisory board or a management-level person. Consequently, the product of this step will be a Decision Package to inform and advise the decision-maker.

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See Instructor Note

INSTRUCTOR'S NOTE

The exact course schedule may vary from session to session. Thus, no attempt is make here to show days or hours for each Module. You should be prepared to do so, however, on the basis of the particular schedule being followed. It is assumed that all participants have copies of such a schedule.

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- We will say more about these decision points and the role of the Decision packages in just a moment.
- This third step is taught in Module III.
- (Give scheduled time for Module III.)

e. Step 4 in the program development process begins to explore strategies that we may select for further development. It is called Collect and Assess Information on Different Courses of Action.

f. Step 5 is a critical one: Lay Out the Logic of Different Strategies.

- Here we introduce specific ways to look at the logic of various approaches and begin to refine our thinking about those worthy of further consideration.
- The Problem Statement plays an important role in this activity.
- As the visual illustrates, this is another decision point in the process, and we will prepare another Decision Package at this point (B).
- The criteria for this decision process are taught and used here.
- Steps 4 and 5 are covered in Module IV, Developing the Logic of Different Strategies.
- (Give scheduled times for Module IV.)

Notes and Comments

g. Step 6 carries the development process further as we Plan the Detailed Program Strategies.

- Here we introduce the Method of Rationale as a tool to help develop the details of the program.
- The potential impact of the program on the existing system and on other parts of the program is assessed.
- More refined estimates of resources and statements of objectives are developed at this point for the strategy or strategies selected earlier.
- Networks are prepared to show how the steps in the strategy relate to each other.
- The product of this step is an interim Decision Package that is used to get approval to proceed to the next and last step.
- This step is covered in Module V, "Planning the Details of the Program Strategies."
- (Give scheduled times for Module V.)

h. Finally, Step 7 completes the Program Development process in Module VI, "Preparing for Program Implementation and Evaluation."

Notes and Comments

- This final step will help to insure that the Program will be carried out by the right agencies and organizations and in the correct manner.
- The program at this point is ready to become a reality with the responsibility for the program shifting to the Program Manager(s), the implementors (Operational Managers), and the evaluators. Programmatic evaluation is emphasized in this Module. The product of Module VI is the Decision-Package at D.
- (Give scheduled times for Module VI.)

7. Decision Points and the Decision-Packages.

a. Now that you have a general idea of the steps involved in the program development process we can begin to discuss the different decision points in the process and the major products of the several steps--the Decision Packages.

b. The course discusses four separate decision points in the program development process:

- The selection of a set of possible strategic goals (Module III)
- The selection of a set of possible strategies to meet the strategic goals (Module IV)

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- The approval of a set of program elements (Module V)
- The approval of a final work plan (Module VI)

c. An earlier decision--the establishment of a normative goal to address a particular problem area--is implied in the process but is not covered directly.

d. Each decision point represents a logical occasion for stepping back from the process and making a choice or selection:
   - Each decision point represents a refinement of the final program plan
   - At each decision point the options remaining open to the program developer have been defined

e. A logical question to ask is, "Who makes the decision at each decision point? The procedures will probably differ in every agency; however, this course was written with the idea that someone other than the program developer would make one or more of these decisions, i.e., an agency executive, a manager or supervisor, or an agency supervisory board.

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- This does not eliminate the possibility that the program developer may have the authority to make certain decisions or suggest that the program developer is always someone on the staff.
- The course takes into consideration the concerns and priorities of decision makers and managers, but adopts the perspective of a person working at the technical level of program development.

f. To facilitate the decision-making process, the course is built around the development of four technical reports, background papers, or briefing documents which we call, Decision Packages.

g. Each decision package summarizes the thinking, the designing, and the organizing completed by the program developer up to that point; lays out the information on which the plans are based; and describes in detail any visible options available to the decision maker at that point.

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h. The decision packages build on each other so that the work that goes into preparing the decision package on selecting strategic goals provides the basis for the next step, selecting strategies, etc.

- A more detailed description of each decision package will be given at the appropriate points in the course.

8. Skills and Knowledge Needed by Program Developers.

a. Let's look at the specific skills and knowledge subsumed under this process. The list is a composite of those skills and knowledge noted by experienced practitioners as being necessary to the Program Development process.

b. Fact-finding and Analytic Skills.

- Interpreting research and evaluation reports.
- Sifting truth from fiction in articles, lectures, public statements, etc.

Notes and Comments

- Ability to think logically and systematically about arguments for various strategies and interventions.
- Identifying assumptions, supported and unsupported.
- Knowing sources of, and how to access, available information in a wide variety of subject matter areas.

c. Interpersonal Skills.

- Organizational ability.
- Leadership skills.
- Communication skills, up, down, and across levels.
- Public relations abilities.
- Problem resolution skills in group settings.
- How to seek compromise from others; how to give it.
- Ability to show interest and concern for the problems and needs of others.

d. Technical, administrative and planning skills.

- Competence in budgeting.
- Manpower allocation skills.
- Scheduling skills.
- Skills in projecting needs and allocating resources to meet them.

Notes and Comments

- Breaking down complex ideas into a series of logical steps.
- Anticipating the "unanticipatable" and dealing with it when it happens.

e. Operational and Content Expertise.
- Substantive knowledge of subject matter areas involved in programs. (Team Approach.)
- Practical experience with the agencies involved.
- Familiarity with local conditions--political, social and institutional.

f. Obviously, the course could not cover all of these skills and areas of knowledge.
- Some involve topics worthy of an entire course by themselves.
- Others involve a knowledge of local conditions which only a person on the scene could know.

g. In this course we have attempted to strike a balance between three principle areas of skill and knowledge needed in program development.
- Technical planning skills.
- Interpersonal and group management skills.
- Substantive knowledge of the problem.

Notes and Comments

h. Of the three, the first area--technical planning skills receives the greatest attention. However, as we will demonstrate over the course of the week, all three skill areas represent the true "legs" on which program development rests.

9. The Role of the Program Developer.

a. Program development, as defined here and taught in the course is not commonly practiced by planners in its entirety. Nor is it common to find people who have the job title of Program Developer.
- A recent survey showed that most CJ planners do <u>some</u> of the steps in program development.
- Twenty percent report spending over half of their time on program development-related activities.
- Only 2.1 percent said that they do <u>no</u> program development work at all.

See Note.

b. Program development as taught here must co-exist with other planning activities.
- Planners must know when and under what conditions it is appropriate to move in the program development direction.
- Single effort project work occupies a legitimate place in the activities of

Instructor's Note

These figures come from a survey carried out by the American Institutes for Research as part of the course development process. It is referenced in the Text and is available to all course faculty members through their regional CJTCs. Familiarity with this document may be helpful as background to the Program Development process. Much of the course content is based on information obtained from this survey.

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agencies and will continue to do so for some time to come.

- Many of the concepts and skills taught in the course will be applicable and useful to project development activities as well.

c. Limited resources may restrict the number of opportunities for program development efforts in any one year.

- Funds--Program development efforts usually require a high level of funding.
- Time--Effective program development cannot be carried out quickly or under tight time deadlines.
- Talent--Program development requires that we use those with expertise in a variety of areas, including cross-disciplinary in some cases. A team approach is strongly recommended.

d. The program developer may play a variety of roles.

- In some instances the program developer will be a key decision-maker with an independent and decisive voice in the design of the program.

Notes and Comments

- In some instances the program developer will be a part of a staff team, responding to the directions of others with little or no independent voice in decisions about the program.
- In some instances, the program developer will be an informed advocate, advising others on the course to be followed.

e. This course presents a model that will be observable in its entirety in relatively few cases.
- Program developers may not be able to follow the entire Program Development model, BUT--
- Portions of the model can still be used to good effect, in almost all planning work, regardless of the Program Developer's role.

10. Summary and Review.

a. In this module we attempted to lay out the general outline of the work before us. We discussed:
- The concept of a program
- The concept of program development
- The importance and utility of program development

Notes and Comments

- How this course relates to other courses and the General Planning Process Model
- The steps in the Program Development Process to be completed in this course
- Decision points and the Decision Package
- Skills and knowledge needed in program development, and
- The role of the program developer.

b. To summarize what has been said consider a basic "rule-of-thumb" about programs--There are three basic reasons why a program succeeds or fails:
- How well the problem is understood
- How appropriate the solution is to the problem
- How well the solution is carried out.

Visual I-D

c. In the discussions which follow you will hear these three "rules" several times in various forms and contexts.

d. In the next module we will begin to address the issues raised by the first "rule"--understanding the problem.

A short time can be devoted to questions at this point.

Notes and Comments

INSTRUCTOR'S NOTES

1. Purpose of Workshop (read to class).
   a. To begin a dialogue around some of the issues and problems connected with Program Development activities in the environment in which we work.
   b. To discuss some of the internal and external barriers to programmatic planning in our agencies.
2. Preparations and Specific Instructions.
   a. The workshop will be carried out as an extended walkthrough of <u>one hour</u> in length.
   b. The instructor will lead the walkthrough and facilitate discussion of the issues raised.
   c. The group will engage in a dialogue around three general questions. They will have 45 minutes to discuss the three questions.
   d. We realize that you may not have made up your mind on these issues or feel comfortable with them--but let's reflect on them now on the basis of what we learned in this Module and what we know about our work environment.

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3. The following issues will be discussed. They are in your Student Guide. (45 minutes)
   a. Questions for group discussion:
      1. To what extent is there a program development orientation in your agencies? If there is, how is it carried out and who does it? How extensive is it?
      2. What barriers do you see to program development in your agencies? Can they be overcome? When? How?
      3. Does the future in CJ planning seem to be generally supportive of program development?
   b. Give the group a few minutes to think about each question and to jot down ideas on each.
      - After this brief pause lead the group through the discussion one question at a time.
      - Allow the questions to be discussed for about 15 minutes each.
4. Discussion Points.
   The following points may be helpful in the class discussion period. If they do not come up in the discussion, they should be made by the instructor.

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   a. There are, and will continue to be, barriers to program development activities. The CJ system tends to be geared to short term responses to problems (putting out fires). Our success rate would suggest, however, that we are not really solving many CJ problems this way. On the other hand, survival suggests that it will continue to be a part of our day-to-day activities.
   b. Under conditions of scarce (and scarcer) resources, we may argue that the generally more costly and time-consuming program development process is unlikely to be supported. We can't afford it; it's a luxury.
   c. A strong counter-argument to the above is that we cannot afford to waste what resources we have, and the best way to insure that is to use them more wisely--or deal with real problems on a programmatic level. The program development approach, on this basis, is a necessity. And it doesn't have to be more costly.
   d. The P.D. process is a way of thinking as well as (or perhaps even more than) a set

Notes and Comments

of skills or procedures or documents. We define it and teach it as a progression of specific steps, but that is largely for pedagogical reasons. To think that we can present a rigid methodological orthodoxy in an area as complex and evolving as program development is to give us too much credit. You may modify steps or you may skip steps, but you can still usefully apply program development notions to CJ problems.

e. There is one underlying notion that drives the need for this course--we are not satisfied with our experience to date in dealing with crime and its manifestations. We are making wrong (or sub-optimal) decisions. The extent to which you are better equipped to inform, relate, and improve those decisions as a result of this course is the extent to which we will consider our efforts worthwhile.

5. Debriefing. Items to note in commenting on comments by participants. (10 minutes)

   a. Were the comments generally positive or negative?

   b. Did some themes come up often, either positive or negative?

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   c. Was there any relationship noticed between size or type of agency and nature of comments?

   d. What <u>are</u> the barriers to Program Development noted most often?

   e. Were there any misconceptions revealed that ought to be cleared up now?

6. Course Objectives. MODULE I LECTURE (continued) (10 minutes)

   a. The course objectives are in your Student Guide. They should sound very familiar because they are closely tied to each of the eight steps covered earlier.

   Remind students that this material is in their Student Guide.

   b. Let's go over them so that we know where we <u>should</u> be at the end of the course.

   Use Visual C as these objectives are gone over.

   - You should be able to assess the conceptual adequacy (completeness, accuracy, logic) of statements relating to criminal justice problems within your jurisdiction (ref. Module II);
   - You should understand the importance of establishing priorities among those problems for possible <u>programmatic</u> intervention (ref. Module II);
   - You can develop strategic goals for the problems under consideration (ref. Module III);

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- You will be able to develop and assess strategies logically capable of meeting the strategic goals (ref. Module IV);
- You will be able to plan out in some detail the steps and procedures needed in order to implement those strategies (ref. Module V);
- And finally, you will be able to identify those key events in the program plan on the basis of which effective management, evaluation, and corrective feedback can be carried out as the plan is later implemented (ref. Module VI).

7. Any remaining problems or questions (as time permits).

Module 2

DEVELOPING AN UNDERSTANDING OF THE PROBLEM

Module II
Developing an Understanding of the Problem

Segment A: The Problem Statement

LECTURE NOTES

1. Review and Introduction

   a. In Module I it was suggested that there are three general reasons why a program fails:

      - The program is poorly or incorrectly implemented.
      - The basic idea behind the program is faulty or mistaken.
      - The problem the program is trying to solve is not correctly understood.

   b. In this Module we will focus on the last of these reasons - <u>understanding the problem to be addressed</u>.

   c. <u>Question to the Participants</u>: What does it mean when we say that a problem should be <u>understood</u>?

   d. For purposes of this course there are three things we should know in order to understand a problem:

      - We should <u>know</u> that the problem really exists, i.e., that the "problem" is not merely a reaction to a temporary set of circumstances.

Notes and Comments
Encourage discussion of this question.

- We should be able to describe the problem, i.e., how big it is; how long it has existed and what the different parts or components of the problem are.
- Finally, we should be able to explain the problem in terms of factors that contribute to the problem, the effects those factors produce and how the problem relates to other problems in the criminal justice system.

e. Example: To use an example outside criminal justice, consider the fact that until only a few years ago very few persons knew that the United States had an energy problem. Even after specific symptoms of the problem appeared (e.g., gas lines, higher fuel prices) many persons contended that there really was no problem. Once the "problem" was recognized - at least by some people - the next step was to investigate the different components of the problem (e.g., OPEC, energy waste, oil production quotas), and how those components fit together to create the "problem."

f. Question to Participants: Why is it important to understand the problem when you are designing a program?

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Encourage discussion of this question.

g. In criminal justice planning the role of the program developer is to take what is known about a problem and to use that knowledge to:
   - Decide which problems are more important than others.
   - Establish appropriate goals in the problem area.
   - Select and design realistic strategies to reach those goals.

h. Without this attention to understanding the problem:
   - Scarce resources may be spent on less important problems while more important problems are ignored.
   - Goals may be set too high or too low or may be inappropriate to the problem.
   - The strategies developed may not really solve the problem.

2. The Relationship Between Problem Analysis and Program Development.

   a. The information the program developer needs to do his/her work may come from a variety of sources:
      - Personal experience and expertise.
      - Research literature.
      - Talking with others involved in the problem area.

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b. Unless the program developer is already an expert in a given area the program developer should rely on Criminal Justice Analysts who have gathered and studied information about a problem. Thus program development should be closely tied to the Criminal Justice Analysis process.

c. The analysis process has three primary tasks: to identify problems that exist in the System, to specify and define those problems in useful and meaningful terms, and to interpret or explain problems so that they can be understood by others.

d. Problems are identified by the analyst through the interpretation of data; or they are identified by others in the form of general concerns.

e. Once a problem is identified the analyst attempts to specify and define the problem by breaking it down into its component parts and by gathering information about the problem.

f. Finally, the analyst attempts to interpret or explain the problem by developing and testing hypotheses about how one part of a problem relates to or effects some other part.

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Visual II-A

3. The Problem Statement.

a. A major product of the analysis process is the Problem Statement.

b. A Problem Statement is defined as:

- *A written document or oral presentation which comprehensively describes the:*
  - *nature,*
  - *magnitude,*
  - *seriousness,*
  - *rate of change,*
  - *persons affected,*
  - *spatial aspects,*
  - *temporal aspects,*

  of a problem using qualitative and quantitative information. It identifies the nature, extent, and effect of system response; makes projections based on historical inferences; and rigorously attempts to establish the origins of the problem.

c. In criminal justice planning agencies Problem Statements vary greatly in terms of length, content, detail of analysis and ultimate use.

- Some Problem Statements consist only of a single paragraph in a comprehensive plan.
- Other Problem Statements may constitute major research reports.

Notes and Comments
Definition taken from Criminal Justice Analysis Course.

d. In this course, when we talk about a Problem Statement we refer to a relatively detailed, comprehensive document following an outline such as the one shown in the Student Guide on page II-A-2a
   - This is not to suggest that shorter or less detailed Problem Statements are necessarily inadequate for many purposes.
   - However, when developing a program a great deal of information about a problem is required.

e. Question to the Participants: Have some of the participants describe the kind and level of information received from the problem statements they work with. Probe their satisfaction with the statements they receive.

4. The Role of the Program Developer in Assessing the Adequacy of Problem Statements.
   a. In the discussion to follow we will lay out some criteria to use when assessing the information in a Problem Statement.
   b. Recognizing that different agencies use Problem Statements for different purposes, and that some agencies produce Statements with different levels of detail, this discussion also applies to the information that the program developer gathers on his or her own, regardless of the source.

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c. Before discussing the kind and level of information needed in program development, this is a good place to discuss the role of the program developer during this early phase in the program development process.
d. The course is built on the premise that the program developer could be almost anyone in a planning agency.
   - In the survey conducted in the design of this course it was found that everyone from the agency director to the statistical analyst might become involved in the process, alone or as part of a team.

e. Because of this, the course assumes that the program developer could play any one of a variety of roles:
   - The program developer could be a full decision making participant with a major say in the structure and design of the program.
   - The program developer could be a staff member, responding to the wishes and demands of decision-makers, but with very little in the way of an independent voice in those decisions.

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- The program developer could play a combination of roles, i.e., having the status of an informed advocate based on his or her technical or substantive expertise, but without the power to make the final decision.

f. Given the premise that the program developer needs a certain level of information in order to do his or her job, how do these roles affect the assessment of Problem Statements or other sources of information?

g. If you are a full decision-maker in the program development process you have an obligation to insure that the program is based on an adequate level of information.

- You may not be responsible for making that assessment yourself, but you should have a basis for guiding the assessment of others or insisting that a greater level of analysis be completed.

h. If you are a staffer, responding to the needs of decision-makers, you should know the kind and level of information needed as a matter of your technical proficiency.

- You may not make the final decision but you should point out any weaknesses in the analysis to protect your professional credibility.

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i. If you act as an informed advocate you should be able to assess the Problem Statement as a matter of your technical expertise and advise decisionmakers on the level of information they should require in their decisions.

j. This course does not suggest that you should become an analyst, but it does suggest that you have the professional skills needed to assess when the information is adequate for purposes of program development.

k. With this framework in mind we can now consider what the information needs are in relation to understanding a problem.

5. Assessing the Adequacy of Problem Statements.

a. If the program developer is to use the information in a Problem Statement to develop priorities, goals and strategies, the program developer should be confident that the available information is adequate for those purposes.

- Any decisions made on the basis of inadequate information have a greater chance of being wrong.

b. There are two primary criteria for assessing the adequacy of a Problem Statement.

- The Problem Statement should be technically adequate in terms of:

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Visual II-B

- the measures and variables used in the analysis,
- the size and characteristics of the sample used,
- the quality of the research or analysis design,
- the statistics used in the analysis,

- The Problem Statement should also be conceptually adequate, in terms of:
  - the degree to which the Statement describes the problem comprehensively and accurately,
  - the degree to which the Statement explains the problem in a logical and consistent way.

c. The criteria of technical adequacy (i.e. sample, design, measures, etc.) is a very complex and highly specialized topic, beyond the scope of this course.
   - A brief overview of some of the major issues relating to technical adequacy is contained in the text accompanying this module.

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NOTE: Do not spend more than 5-10 minutes discussing the technical adequacy of a problem statement.

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d. Nevertheless, technical adequacy is an absolutely mandatory minimum requirement of a Problem Statement.
   - If the facts are wrong or the data is inaccurate the program developer may be building his/her program on an entirely false set of assumptions.
   - If the program developer does not have the necessary background to assess the technical adequacy of a Problem Statement he/she should rely on the judgment of someone who has these qualifications.
   - This requirement applies equally to any other sources of information used in the program development process.

e. In this course we will focus on the second general criteria - the conceptual adequacy of a Problem Statement.

6. Assessing the Conceptual Adequacy of a Problem Statement.
   a. Conceptual adequacy refers to how well the Problem Statement describes and explains the problem.
   b. Conceptual adequacy is only a relative requirement.
      - Very few problems in criminal justice can be completely described or explained.

- Persons may disagree about how well a problem has been described or explained.
- Example: Experts still disagree about the reasons why ex-offenders recidivate, even after years of debate and research on the issue.

c. In program development the program developer must decide whether the Problem Statement provides enough description and explanation to work with - not whether the analysis has answered all possible questions or doubts.

d. The first criteria to be considered is how well the Problem Statement describes the problem.
- The characteristic of a good problem description is that it is comprehensive.

e. A way of assessing the comprehensiveness of a Problem Statement is to use the definition of a Problem Statement as a checklist.
- According to the definition a Problem Statement should contain information on the:
  - Nature
  - Magnitude
  - Seriousness
  - Rate of change
  - Persons affected

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  - Spatial aspects
  - Temporal aspects
  - System response
  - Future projections, and
  - Origins

  of the problem.

f. These factors (nature, magnitude, spatial aspects, etc.), are called the components of the problem.
- Definition: *A component of a problem is a condition or an event that defines or is associated with a particular problem.*

g. The components of a problem may be described at different levels of abstraction.
- At the most abstract level they can be described as concepts; (e.g., deterrance, recidivism, victimization.)
- At a more specific level they can be described as variables (e.g., type of crime, characteristics of the victim, etc.)
- At the most specific level they can be described as measures (e.g., rate of robbery per 100,000 population).

h. The degree to which a Problem Statement contains information on each of these components defines how comprehensive its description of the problem is.

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7. Assessing the Explanatory Adequacy of a Problem Statement.

   a. In the introduction to this Module we indicated that in order to understand a problem it was necessary to know more than that the problem exists and to be able to describe it - it is also necessary to be able to explain the problem in terms of what causes what.

   b. An adequate Problem Statement - one that can be used in program development - should attempt to <u>explain</u> how and why the problem exists in a logical and complete manner.

   c. A way to test the explanatory power of a Problem Statement is to break the components of the problem described in the Statement into four general categories which we have labeled:

      - Presumed Causes
      - Primary Effects
      - Secondary Effects, and
      - System Response

   d. The <u>presumed causes</u> of a problem are those conditions and events that are thought to come before and lead to the expressed concerns and related events and effects.

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- A presumed cause could be a <u>condition</u> such as a high level of unemployment in a certain area of a city, or an attitude in the mind of a would-be criminal or a group of persons, or any other condition which people have suggested to explain why people behave or events happen as they do.
- A presumed cause can also be an <u>event</u> such as two neighbors having a fight, a large factory closing, or an exoffender being turned-down for a job.
- A presumed cause is thought to <u>produce</u> certain problems, such as, for example, when a need to support a drug habit leads a person to buglarize a home.
- A presumed cause may also <u>contribute</u> to a problem in that it may work with other factors to produce some characteristic of the problem.
- <u>Example</u>: A desire to avoid detection is thought to contribute to the fact that burglarized homes are usually unoccupied when the burglary occurs.

   e. <u>Primary effects</u> are those conditions and events that directly result from the presumed causes:

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- A primary effect could be factors such as <u>when</u> the problem appears, <u>where</u> it appears, and <u>who</u> is involved.
- <u>Example</u>: In a description of the problem of residential burglary, the primary effect would be the physical act of burglary itself.
- The primary effects are thought to be produced by the presumed causes of the problem.

f. <u>Secondary effects</u> are those conditions and events that directly result from the primary effects and indirectly result from the presumed causes.

- Secondary effects could be the psychological trauma or social consequences of a crime. They could also be the actions taken by a victim as a result of the crime (buying a gun, moving out of a neighborhood, etc.).
- Secondary effects can be thought of as the long-term costs and consequences of the problem.

g. <u>System response</u> refers to those conditions and events in the criminal justice system or some other relevant system that have an effect on or are affected by the problem's

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presumed causes, primary and secondary effects.

- System response factors might include such events as the number of burglars arrested, prosecuted and convicted; or the internal procedures of agencies responsible for dealing with a problem.
- System response factors may <u>have an effect on</u> the causes and effects of a problem.
- <u>Example</u>: The fact that the police are able to apprehend very few persons who commit a certain crime may contribute to the increased commission of the crime.
- System response factors may also <u>be affected by</u> the causes and effects of a problem.
- <u>Example</u>: A high crime rate may induce the courts to impose longer sentences on persons convicted of a crime.

h. For the program developer to have a complete explanation of a problem, the Problem Statement should contain information on each of these categories of conditions and events.

Desk Activity - Identifying and Categorizing the Components of a Problem from a Problem Statement.

a. An ideal Problem Statement - one following an outline such as the one discussed earlier - will lay-out the components of a problem so that the presumed causes, primary effects, secondary effects and system response factors will be immediately apparent.

b. In this desk exercise you will be working with a less-than-ideal Problem Statement.

- Read the instructions in your Participant Guide.
- Take 15 minutes to carry out the exercise.
- At the end of that time we will compare answers and discuss the results.
- Are there any questions? (Begin)

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Total time about 25 minutes

INSTRUCTOR'S NOTE

In this desk exercise the participants will be given a chance to identify the components of a problem from a fragment of a Problem Statement and to then place these components into one of the four categories: presumed causes, primary effects, secondary effects or system response. The brief lecture note preceding the exercise explains the rationale behind the exercise and what the participants are expected to do.

8. *Desk Activity - Identifying and Categorizing the Components of a Problem from a Problem Statement.*

Read the following segment of a Problem Statement and identify the components (events and conditions) described there. List the components you identify on the lines below the Statement and decide if they are a presumed cause, a primary effect, a secondary effect, or a system response component.

Statement

It is estimated that there were 22,100 robberies committed in the city in 1978, an increase of 8.4 percent over 1977. Of these, it is estimated that 75% were reported to the police. Approximately 50% of the reported robberies were committed in the street, 40% were committed in commercial locations, and 10% were committed in private residences. The police were able to clear by arrest 29% of all robberies reported to them. About 58% of the persons arrested were prosecuted and 55% were convicted. The estimated monetary loss due to robbery was 7 million dollars. In addition, there were 6 deaths and 45 cases of serious physical injury resulting from robberies. The increase in the number of street robberies is attributed to an increase in the number of unemployed persons in the city and an increase in street gang activity over the last year. The high rate of street robbery has resulted in a significant decline in nightime retail business activity, and is believed to have contributed to the exodus of business to the suburbs.

	Components	Presumed Cause, Primary Effect, Secondary Effect, or System Response?
1.	Robberies	(Primary Effect)
2.	Robberies reported to police	(System Response)
3.	Robberies committed in street	(Primary Effect)
4.	Robberies committed in commercial location	(Primary Effect)
5.	Robberies committed in private residences	(Primary Effect)
6.	Robberies cleared by arrest	(System Response)
7.	Robbers prosecuted	(System Response)
8.	Robbers convicted	(System Response)
9.	Monetary Loss	(Primary Effect)
10.	Life loss	(Primary Effect)
11.	Serious injuries	(Primary Effect)

12.	Increased unemployment	(Presumed Cause)
13.	Increased street gang activity	(Presumed Cause)
14.	Decline in nightime retail sales	(Secondary Effect)
15.	Exodus of business to the suburbs	(Secondary Effect)

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c. Debriefing points: the following describes the rationale behind the answers in the Instructor Guide:

- Component 1. Robberies - the number of robberies is considered a primary effect of the robbery problem because it is the culminating event--i.e., it is the event around which the robbery problem is defined. (Note: in a later discussion of the boundaries of the problem it will be made clear that "problems" are defined in a relative sense and are somewhat arbitrary--this statement could also have been labeled, "the unemployment problem," or "the juvenile street gang problem," or "the declining business activity problem.")
- Component 2. Robberies reported to the police - the number of reported robberies is categorized as a systems response component because it is a function of the problem affecting the system as well as a function of how the system addresses the problem. When we use reported crime data to indicate whether a particular crime has increased or decreased, we know that there is a discrepency between the two--many crimes are unreported. This may be due to factors related to the crime itself (e.g., rape) or how victims view the system (e.g., "the police won't do anything about this anyway!").
- Components 3-5. Robberies committed in the street, in commercial locations, and in private residences - these components are placed in the primary effect category

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because they further define or describe the robbery event itself. They are also the immediate effect of specific presumed causes relating to how or why a robber selects his target (e.g., because he/she is young, a member or a gang, unemployed, etc.). Information such as this is valuable because it will help the program developer "target" his efforts in terms of locations.

- Components 6-8. Robberies cleared by arrest, prosecuted and convicted - these components clearly relate to how the system responds to the problem. They provide indicators of performance for the police and prosecutors.
- Components 9-11. Monatary loss, life loss, and serious injuries - these components are categorized as being primary effects because they further define or describe the robbery event itself. The amount of monatary loss is a particularly important factor because in a legal sense it will determine whether the crime is a petty offense (purse-snatching) or a major felony. The same is true of the life loss and injury components--they define the seriousness of the robbery.
- Components 12-13. Increased unemployment and increased street gang activity - these factors are defined as presumed causes in this problem statement because they are presented as plausible explanations for why the number of robberies has increased. The problem statement might have demonstrated this through a statistical analysis, a set of case studies or through the stated opinion of a crime expert.

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- Components 14-15. Decline in nightime retail sales and exodus of business to the suburbs - these components are labelled as secondary effects of the robbery problem. They are not necessarily the only secondary effects and they may not be the effect only of increased robberies. However, presuming that the relationship is demonstrated they clearly relate to robbery in an indirect manner.

d. Remember, there is room for honest difference on the way the components are categorized. This desk activity is aimed at organizing the components within a framework based on the way the problem statement describes the problem, i.e., centered around the robbery problem.

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9. Assessing the Logic of a Problem Statement.
   a. Breaking the components of a problem down into the four major categories (presumed causes, primary effects, secondary effects and system response factors) suggests that there are relationships between the components.
   b. In an ideal Problem Statement these linkages are explicitly stated and tested in the form of <u>hypotheses</u>.
      - <u>Definition</u>: *An hypothesis is a statement that asserts a relationship among either concepts, variables, or measures.*
   c. Even when these relationships are not stated in the form of an hypothesis they are often <u>implied</u> in the Problem Statement.
      - <u>Example</u>: A statement such as: "In 15 percent of street robberies involving juvenile assailants the victim was physically injured, compared to only 5 percent when the assailant was an adult", implies that there is a relationship between the age of the assailant and the probability of the victim being injured.

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   d. The reason why it is important to identify relationships between the components of a problem is because program developers can use these relationships to identify points where the program can intervene to affect a problem.
      - <u>Example</u>: If the problem statement demonstrates a strong relationship between the age of the assailant and the likelihood of the victim being injured, the program developer might infer that a program to reduce injuries should be <u>targeted</u> at younger offenders.
   e. By identifying relationships between components of the problem the program developer can also deduce specific strategies to affect the problem.
      - <u>Example</u>: If a Problem Statement demonstrates there is a strong relationship between the number of street robberies in a neighborhood and the level of youth unemployment, the program developer could infer that an effective strategy might be to reduce the level of unemployment or provide alternative diversions for unemployed youth.
   f. <u>However</u>, the program developer should be <u>very careful</u> in inferring too much from the information contained in a Problem Statement.
      - Under ideal conditions the Problem Statement can only suggest <u>some</u> of the <u>possible factors</u> that contribute to a problem, based on a careful testing of hypotheses.

- The program developer should keep in mind that many factors contribute to a given event or condition so that the relationship between components is only probabilistic at best.
- Example: Other factors that might contribute to the street robbery rate besides the unemployment rate would include available opportunities; presence or absence of police in the area or even the physical layout of a neighborhood.

g. The program developer should also avoid the logical error of assuming that, because a strong relationship exists between two components of a problem, one factor necessarily caused the other to occur.

- There are many examples of very strong statistical relationships that are nothing more than the effect of a third factor.
- Example: Statistically there is a strong correlation between the amount of ice cream consumed and the number of drownings per month. Should people who want to go swimming be prevented from eating ice cream?

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INSTRUCTOR'S NOTE

In this exercise the participants will be given an opportunity to identify and assess relationships between components of a problem as described in a Problem Statement. The purpose of the exercise is to encourage the participants to think logically and critically about the way evidence of relationships between components is presented in Problem Statements. The instructor will walk the participants through the first half of a Problem Statement segment, illustrating the process. The participants will then work on their own to identify relationships in the second half of the segment. At the end of the exercise the participants will compare and discuss their results and the solution presented by the instructor.

Segment 2:

Component	and	Component
5. Percent of Budget Spent on Athletic/Extramural Activities		Number of Vandalism Incidents
6. Rate of Academic Failure		Number of Vandalism Incidents
7. Rate of Teacher Turnover		Number of Vandalism Incidents
8. Probability of Student Being Involved in Vandalism Incident		Student's Academic Performance
9. Probability of Person Being Involved in Vandalism Incident		Person Had Been Dismissed or Suspended When in School

10. Desk Activity - Identifying Relationships Between Components in a Problem Statement.

a. Under ideal circumstances a Problem Statement will present the relationships between components of the problem through the statement and testing of hypotheses.

b. However, very often the relationships are implied rather than explicitly stated so that the program developer must determine what the relationships are on his/her own.

c. In this desk exercise we will assess a segment of a Problem Statement for the relationships it implies.

- I will walk you through the first part of the Statement, then you will be given a chance to try the same process on your own on the second part of the Statement.
- Read through the Statement in your Guide on page II-A-6a.
- Take about 3 minutes.

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Total time for this activity is about 20 minutes.

d. Walkthrough

- Take Paragraph 1 one sentence at a time, identifying the relationships as indicated on the worksheet.
- In the walkthrough point out the following aspects of each relationship in Segment 1.
- #1. Note that the age of the school building appears to have been defined by whether the building was constructed before or after 1965. Why should "age" per se be a factor contributing to vandalism? Is this component merely an indicator of some other factor, e.g., the general physical condition of the building?
- #2. Note that "seriousness" was measured in terms of the cost to the schools. Is this a reasonable indicator of "seriousness"? Also note that "general upkeep" is defined in terms of the amount of money spent on upkeep, not on the actual physical conditions in the school. Ask if the participants can think of reasons why one school spends more on upkeep than another (e.g., perhaps older schools cost more to keep in repair.)
- #3. Note that the term "relatively larger" is not defined. How big is large? A block? An acre? Ask the participants if they can offer a plausible explanation for this relationship. How could the amount of land on which a school is built affect vandalism?
- #4. Note that the factor of distance is not defined. Also note the ambiguity of the term commercial or industrial uses. This could be almost anything from a "Mom 'n Pop" corner store to a shopping center.

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- General Note of Segment 1: Ask the participants if they could think of some factor which would account for the relationships noted in Segment 1.

e. After the Walkthrough the participants are to work on Paragraph 2 on their own.

- They should be allowed 10 minutes to complete the work.

f. Debriefing

- At the end of 10 minutes the Instructor asks the participants to stop working and asks for volunteers to report their answers.
- Any differences in answers should be compared and discussed.
- If the participants do not develop the correct solutions the Instructor should provide the correct solution using the completed form.
- Debrief on the following points if they are not brought out in the participants' discussion:
- #5. Note that one plausible explanation for the relationship could be that schools that do not provide outside diversions for their students may not invoke much in the way of "school pride" and thus are more likely to become the target of vandals. An alternative explanation could be that schools which can't afford to spend money on extra-curricular activities are likely to be located in poorer areas of the city with higher vandalism rates.

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	Notes and Comments
• #6. Note that this relationship suggests several plausible explanations: Students who flunk out of school are likely to take revenge by vandalizing the school; poor schools tend to fail more students and also lose the respect of other students; schools with poor academic performance tend to be located in poorer neighborhoods where vandalism may be generally more prevalent.	
• #7. Note that "high teacher turnover" is a relative term - how "high" is "high"? Ask the participants if they can suggest some explanations for this relationship.	
• #8. Note that the evidence presented here could only relate to students who were caught. Is it possible that students who aren't caught represent a different population? Perhaps school authorities are more likely to suspect students with poor academic performance.	
• #9. Same comment as in #8.	
• General Note on the Debriefing: In the debriefing note that the relationships in the Problem Statement <u>suggest</u> certain causal linkages between components of the problem. However, be certain to emphasize how easy it is to fall into a logical trap of assuming that one factor caused another.	
	End of desk activity
11. The Boundaries of a Problem.	
a. The final aspects of a Problem Statement to be assessed are the boundaries and the level of the problem described in the Problem Statement.	

	Notes and Comments
b. When a problem or a concern is identified the analyst must decide where to place the limits on the analysis.	
• Problems do not exist as discrete or neatly bounded entities, but intersect and overlap with other problems, events and conditions.	
• Problem boundaries tend to be defined by the way the problem is first presented.	
• <u>Example</u>: Take the relatively common crime of street robbery. If the analyst starts out by defining the "problem" as street crime he discovers that a major presumed cause of the "problem" is drug abuse and a major secondary effect is a general fear of crime among the citizens. However, the analyst could have also defined drug abuse as "the problem" in which case street robbery becomes a secondary effect and - perhaps - organized crime activity becomes a presumed cause.	Visual II-D Using Visual II-C with these two Visuals helps to make the point Visual II-E
• In general, "problems" are in the eye of the beholder - the problem is (or can be) as big or as small as the analyst or a decision-maker wishes to make it - which is why it is pointless	

to demand that Problem Statements cover the "whole problem". There is always one more component or aspect of a problem that could have been covered.

c. The final judgement about the adequacy of the boundaries set by the Problem Statement must be based on an intangible quality called "professional judgement" which is grounded in:
   - Appreciation of the limits of problem analysis.
   - Appreciation of the need to act even in the absence of complete information.
   - Appreciation of the difficulties that may be created if the problem's boundaries are accepted as stated.

12. Setting Priorities Among a Set of Problems.
   a. The discussion of boundaries illustrates an important point about program development - problems cannot be viewed in a vacuum, but must be assessed in relation to all other problems in the criminal justice system.
   b. Viewing problems in relation to one another means that some problems must be judged more important or more urgent than others, i.e., problems should be set in some order of <u>priority</u>.
   c. Priority-setting means making three different decisions:
      - Do we deal with this problem at all?
      - If we decide to address the problem, do we do so now or at some time in the future?
      - If we decide to deal with the problem now, how much effort do we want to make?

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   d. The first decision involves answering the question, "Is this really a problem?"
      - Almost any situation can be seen as a problem if it is viewed from a certain perspective.
      - However, if enough information is gathered and analyzed a reasonable person can decide whether a "problem" really exists. This is what we have been discussing in the first part of the lecture.
   e. The second decision (should we address the problem now or later?) involves answering the question, "What are the consequences of dealing or not dealing with this problem now?"
      - Every problem involves some costs to someone (e.g., crime victims, the reputation of the criminal justice system, etc.). The longer a problem exists, the more costly it becomes.
      - However, a decision to deal with one problem now often means not dealing with some other problem until sometime in the future. Very often this decision involves a comparison of relative costs, long-term and short-term.
      - <u>Question to the Participants</u>: How do you deal with decisions like this in your agency? Give an example. Do you try to rank problems? Do you deal with all problems at the same time? What procedures do you follow?

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f. The third decision - how much effort should we devote to solving a particular problem? - is similar to the previous decision.
   - A decision to devote a great deal of effort to one problem probably means that another problem will receive less attention.
   - Question to the Participants: How do you decide how much effort to put into solving a particular problem in your agency? Give an example. Do you try to give all problems equal attention? What factors go into the decision? How is the decision made and who makes it?

g. In the text to this module there is a long discussion about different ways to set priorities among problems. In the remaining discussion we will focus on one particular decision - the decision about whether to address a problem through a project or a program.

13. Selecting Problems for Programmatic Treatment.
   a. Whatever the process used to set priorities among problems, among the decisions to be made is the selection of those problems that require or deserve programmatic treatment.
      - Not all problems presented for consideration require the kind of detailed planning outlined in the course.
   b. The criteria for selecting problems for programmatic planning are:
      - The problem to be addressed should be well-understood.

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      - The problem should be important and should be seen as such by decision-makers, particularly in relevant operating agencies.
      - The problem should be subject to comprehensive and system-level treatment.
   c. The level of understanding about the problem should be relatively complete.
      - The program developer and decision-makers should be confident that the analysis of the problem was carried out correctly in a technical sense.
      - An assessment of the Problem Statement should indicate that the problem analysis is conceptually complete, comprehensive and logical.
      - There should be agreement that the problem is a problem based on the analysis.
   d. There should be agreement that the problem is important.
      - The evidence in the Problem Statement should suggest the need to address the problem now.
      - The evidence should point to concrete costs to the public, the criminal justice system or some other group.
      - The evidence should indicate that the consequences of not addressing the problem would be more unfavorable than not addressing some other, competing problem.
      - The problem should be perceived as important by relevant decision makers, particularly those persons who are affected by the problem or who would

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be affected by any effort to solve the problem.

e. The problem should be large enough or varied enough to require a comprehensive system-level response.
   - This criterion relates back to the issue of problem boundaries discussed earlier in this Module.
     - This criterion is not precise because it largely depends on the experience and professional judgement of the program developer.
   - Problems that can be handled within a single agency, or that appear to be resolvable with a few short remedies do not require the type planning suggested here.
   - Problems that span several levels of the system and which require a variety of approaches are good candidates for program development.
   - Problems should be selected which would require an extended level of effort over a period of time.
   - Example: A problem relating only to the slow response time of police to calls for service could probably be handled within the police department itself and need not be made the subject of a program.
   - Example: A problem relating to a high rate of recidivism among juvenile offenders would possibly present the type of system-level response entailed in a program.

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f. Ultimately, the judgement of the program developer and other decision-makers will dictate where the appropriate level and boundaries of problems to address are and which problems are worthy of being handled through the program development process.

14. Review: Assessing the Adequacy of a Problem Statement.
    a. We will now briefly retrace the various tests we have suggested for assessing the adequacy of a Problem Statement.
    b. Technical adequacy.
       - Questions to be asked:
         - Is the sample (if any) adequate?
         - Are the measures and variables used suitable for the questions being asked?
         - Is the research or analysis design appropriate to the needs of the analysis?
         - Are the statistics used appropriate to the data collected?
    c. Conceptual adequacy.
       - General questions:
         - Does the Problem Statement describe the problem comprehensively?
         - Does the Problem Statement explain the problem in a complete and logical manner?
       - Specific questions:
         - Is the problem description comprehensive in terms of indicating the:
           - nature?
           - magnitude?
           - seriousness?
           - rate of change?
           - persons affected?
           - spatial aspects?

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Note earlier comments regarding the role of the program developer in the technical area (p. II-A-6).

- temporal aspects?
- system response?
- origins of the problem?

- Is the explanation of the problem complete in terms of indicating the:
  - presumed causes?
  - primary effects?
  - secondary effects?
  - system response factors?
- Is the problem explanation logical in that it states and tests the:
  - relationships between the components of a problem?
- Are the boundaries of the problem adequate in terms of:
  - the limits of problem analysis?
  - the need to act?
  - the consequences of acting on the basis of the Problem Statement?

d. The final decision about the adequacy of a Problem Statement may or may not rest with the program developer - but he/she should be aware of the possible problems and limitations in the Statement before agreeing to proceed to the next step in the program development process.

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Module II
Developing an Understanding of the Problem

SEGMENT B: WORKSHOP ON THE PROBLEM STATEMENT

1. Purpose of the Workshop
   a. The purpose of the workshop is twofold:
      - To give you an opportunity to apply some of the ideas discussed in the lecture, and
      - To help you become familiar with the problem you will be asked to deal with during the rest of this course -- the arson problem in a hypothetical planning region.
      - Each of you should have read through the Problem Statement before coming to the training session. However, you will be given one hour to reread the material in the light of the lecture, and to provide those that have not yet read the material a chance to become familiar with its contents.
   b. A secondary purpose is also to help you develop a critical and analytic attitude toward criminal justice problems -- to think about problems from the system-level perspective.
      - It is very important that you digest as much of the content of the Problem Statement as possible. The ideas and findings in the Problem Statement will be used throughout the week in the major exercises.
2. Workshop Process
   a. The exercise will be carried out as an extended walkthrough.

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b. During the walkthrough you will be asked to make comments, add suggestions and criticisms about the Problem Statement.

c. In general, the discussion of the Problem Statement should be guided by the questions on the worksheet in the back of your copy of the Problem Statement. You should feel free to offer insights and comments outside these guidelines.

d. Remember that the focus of this Module is on understanding the problem in a conceptual manner, and that understanding is only a relative quality -- be critical but reasonable.

3. Note on the Problem Statement

a. The Problem Statement in your Guide is an attempt to reach a compromise between the ideal and the material most planners must work with in their agencies.

b. The Statement is probably more detailed than most Problem Statements currently produced, but it is a realistic document in terms of the information needs of the program developer.

- The Problem Statement follows the outline for a Problem Statement found on page II-A-2a of your guide.

c. The data presented in the Statement is not "real" data in the sense that it is all based on an actual city or region, but it is realistic in that, as much as possible, it reflects a composite of national, state and local arson data sources.

4. Turn now to the problem statement. You will <u>read through the entire Problem Statement</u>. (Step 1).

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See Instructor's Note

INSTRUCTOR'S NOTE

The workshop will be carried out in two steps:

Step 1: The participants read the Problem Statement through for comprehension, using the various tests discussed in the lecture (1 hour). This is done individually in class or wherever they wish.

Step 2: The instructor leads a group discussion of the Problem Statement (1 hour).

CONTINUED

1 OF 9

a. You will be given <u>one hour</u> to complete the reading. You will be asked to do this on your own. You can go to your room, stay here, or go to a place of your choice.
b. As you read, make notes on the Statement as to its:
   - Comprehensiveness of Description.
   - Completeness and Logic of Explanation.
   - Adequacy of the Scope of the Problem as described.
c. Use the worksheet included at the end of the Problem Statement (it can be removed) to guide your assessment.
d. Return to this room at _____.

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5. Debriefing

a. After the participants have returned, the Instructor should lead a discussion of the Problem Statement following the format of the Worksheet provided at the end of the Statement.

b. Comprehensiveness of Description.

- Does the Problem Statement provide information on each of the components of the problem relating to:
  - the nature of the problem?
  - its magnitude?
  - seriousness?
  - rate of change?
  - the persons affected?
  - spatial aspects?
  - temporal aspects?
  - system response?
  - origins?
- What other information would be useful for a better understanding of the problem?
- Note: the only component of the problem not covered in the Problem Statement at least to some extent is the "temporal" aspects of arson. Most students pick up on this point.
- The Problem Statement is relatively comprehensive in its description of the arson problem. However, students often indicate that they would like to have more information on certain topics, e.g., the exact location of arson fires by type of arson, more about the kinds of persons who commit arson or specific types of arson. Two points could be made here:
  - The program developer must make a decision about whether the missing data is essential or only in the realm of "good to know"; no Problem Statement will ever answer every question.
  - If the program developer feels that the missing information is essential to the development of the program he should consider going back to the person who prepared the Problem Statement and point out the omission. Within reasonable limits the program developer should not try to work with inadequate information.

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c. Completeness of Explanation.

- Can the components of the problem be categorized into: presumed causes, primary effects, secondary effects, and system response components?
- Have several participants suggest examples of each and encourage discussion of the way the components were categorized.
- Typical and proper responses for presumed causes include:
  - Profit motive (arson for profit)
  - Revenge
  - Psychological disorder (pyromania)
  - Vandalism
  - Crime coverup
  - Lack of recreational facilities for juveniles (picking up on a concern expressed in section 1.2 Source and Nature of Concerns (p.3))
  - Lack of public awareness and concern
- Typical and proper responses for primary effects include:
  - Number of arsons
  - Arson fire losses (monatary)
  - Physical injuries and deaths
  - Location of arsons (jurisdiction)
  - Characteristics of buildings hit by

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arson (abandoned, occupied, vacant; residential, industrial, commercial, schools)
- Characteristics of arsonists (age, sex, race)

- Typical and proper responses for secondary effects include:
  - Decreased revenues to local government
  - Local government costs to assist arson victims (unemployment compensation, shelter care, small business loan for repairs, emergency medical care)
  - Lost jobs and wages
  - Loss of housing and displacement of persons
  - Property value and business activity reduction.
- Typical and proper responses for systems response include:
  - Number of arsons detected
  - Number of arson arrests, prosecutions, and convictions
  - Level of training of persons involved in arson control (fire, police, prosecutors)
  - Available facilities for arson control (investigative equipment, laboratory, information storage)
  - Legal requirements affecting arson (information sharing, criminal penalties)
  - Lack of centralized authority or coordination of different agencies
  - Lack of standardized procedures.
- Note: Some of the concerns expresses in 1.2 Source and Nature of Concerns were not directly addressed in the Problem Statement, e.g., lack of recreational

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facilities for minority youth. However, note on p.12 that less than 20 percent of all arsons are committed by minority persons region-wide and only 24 percent are committed by minorities in Central City. However, this may be a good place to point out or discuss the "politics" of crime analysis and interpretation--is it wise to ignore a concern of a prominent community leader when analyzing a problem or developing a program?

- Debriefing Point: Note to the students that by breaking down the problem's components into these four categories (presumed causes, primary effects, etc.) the arson problem is much easier to understand, and ultimately to address.

d. Logic of Explanation.

- What relationships between components of the problem are described or implied in the Problem Statement?
- Have several participants identify and explain some of the more important relationships in the Problem Statement.
- Some of the more important relationships between components of the problem that should be noted are:
  - the relationship between overinsurance and arson for profit
  - the relationship between adolescent thrill-seeking and pre-adolescent fascination with fire and vandalism arson
  - the relationship between public attitudes toward arson and the willingness of persons to serve as witnesses, the willingness of juries to convict, and the willingness to take preventive measures.

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- the relationship between training levels, available resources, and the lack of standardized procedures and policies and the performance of the arson control system (i.e., number of arsons detected, cleared by arrest, prosecuted and convicted)
- the relationship between the proportion of arsons detected and whether the fire was given a full or only a preliminary investigation
- the relationship between the arrested person's age, race, and sex and the probability of being arrested for arson
- the relationship between the type of arson (vandalism, revenge, cover-up, etc.) and the probability of it being detected, cleared, prosecuted, and result in a conviciton

• Debriefing point: Note that these relationships are important because they provide possible clues for areas of the arson problem where efforts could or should be targeted.

e. Boundaries of the Problem.

• What are the boundaries of the problem as described and explained in the Problem Statement?

• Are the boundaries set too broadly, too narrowly, or are they about right?

• Encourage discussion.

• The boundaries of the problem can be described as follows:

- they encompass a variety of presumed causes relating primarily to the motives of persons who commit arson.

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- they include the general context of public apathy and indifference toward the problem
- they include the way the system responds to the problem and the cost of that response
- they extend to the economic and social costs of arson relating to employment, wages, housing, and business activity

• Debriefing Point: Many participants have indicated suprise and irritation that the arson problem was extended to include the juvenile and vandalism aspects and does not focus more on the arson for profit aspect as more "criminal" in nature. This is a valid objection to the way the boundaries of the problem are stated since the problem, as described, overlaps into the whole area of juvenile crime and thus becomes extremely complicated. However, the arson problem is very heavily influenced by the juvenile component inasmuch as juvenile arsons appear to make up the majority of arson incidents and arrests. Note that there is room for reasonable debate over where the boundaries of the problem should be located and that one of the major policy decisions the program developer and decision-makers must make relates precisely to this point. The questions to be answered are: are the boundaries workable in terms of addressing the problem? What are the consequences of accepting the boundaries as stated?

f. Final debriefing points:

- Remember that no problem can be completely or comprehensively described and explained. Conceptual adequacy is always a relative feature of a Problem Statement.
- The same criteria which we applied to this Problem Statement should be applied to any other information used in program development.
- If you determine that a Problem Statement does not provide a sufficient understanding of a problem, you have an obligation to advise decision-makers of that fact or arrange to gather the information needed.

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LECTURE NOTES

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1. Review and Introduction.

   a. In the previous module we discussed the problem and indicated that it was important for the program developer to have a detailed understanding of the problem he/she was attempting to address.

   b. In this module we will discuss the first step beyond understanding the problem - the step of identifying and developing strategic goals.

   c. In this module we will cover the following topics:

      - The role of the program developer in developing and selecting strategic goals.
      - The purpose of strategic goals in program development.
      - The different types and levels of goals in program development.
      - The distinction between goals and objectives.
      - The strategic goal development process.
      - Using the problem statement to identify potential strategic goals.

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- The importance of developing integrated sets of strategic goals.
- Drafting the goal statement.
- Preparing the strategic goal decision package.

d. In the exercise which follows this lecture you will be given an opportunity to utilize a technique that is very useful in identifying and selecting components of a problem that should be addressed through a strategic goal - the Nominal Group Technique.

2. The Role of the Program Developer in the Development of Strategic Goals.

a. Before we discuss the specific topic of strategic goal development it is necessary to lay out the framework for this step in the process.

b. In the previous module we discussed the fact that the program developer might play any one of a variety of roles in the decision-making aspects of the process:

- Full decision-maker.
- Staff member.
- Informed advocate.

c. The selection of strategic goals is a major <u>decision point</u> in the program development process; consequently it is reasonable to assume that the final decision may

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be made by someone other than the program developer himself or herself.

d. In this course we will treat the identification of potential strategic goals from the perspective of the staffer and the informed advocate.

- That is, this step will be treated from the standpoint of someone who must respond to a higher decision-maker (e.g., an agency manager or a supervisory board).
- The final product of this step will be a <u>decision package</u> which could be presented to decision-makers for a final determination.
- If you work in an agency where you make or participate in the final decision, the material discussed here can guide you in what to expect or demand of persons who work under you.

3. Types and Levels of Goals.

a. In program development a distinction is made between different types and levels of goals. A distinction is made between:

- Normative goals and
- Strategic goals.

b. <u>Normative Goals</u> are considered the highest order or level of goals.

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- Normative goals represent those values or ideas about where criminal justice ought to be going or what it ought to be doing.
- Examples:
  - To reduce crime.
  - To provide a speedy trial to all defendents.
  - To improve the efficiency of law enforcement agencies.

c. As "ought" statements, normative goals can be made at a variety of levels:
   - Normative goals can be established for a single sector of criminal justice system or for the system as a whole.
   - Normative goals can be established for particular crimes in particular locations, or they can refer to all crimes everywhere.

d. Normative goals can emerge out of a variety of situations:
   - Normative goals may be established because they reflect the concerns of decision-makers and community leaders; (e.g., operating agency heads, supervisory boards, public officials, public opinion).

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   - Normative goals may be established out of the analysis of crime or system data; Example: A sharp rise in the burglary rate may generate a decision that the criminal justice system ought to address the problem of burglary.
   - Very often, an analysis may be ordered to confirm or verify that a problem is important and should be addressed.

e. Normative goals are important in problem development because they define the level and boundaries of programs and the problems they address.
   - Example: A normative goal that establishes "arson" as a problem that ought to be addressed will generate a different type of program than a normative goal focused on the problem of setting fires in city schools. Similarly, a state-wide arson program would set different boundaries on the problem than would a city program.

4. Strategic Goals.

   a. The next level or order of goals are called strategic goals.
      - Strategic goals are usually more specific than normative goals.
      - Strategic goals represent concrete ideas about what can be accomplished in relation to a particular problem.

- Examples:
  - To reduce the number of burglaries in residential area.
  - To improve the ability of prosecutors to conduct successful trials in court.
  - To improve the level of training provided to line law enforcement officers.

b. Like normative goals, strategic goals can be established at different levels of specificity and detail.

c. Unlike normative goals, strategic goals should reflect a realistic appraisal of problems at a detailed level.
   - Normative goals provide a general commitment to do "something" about a problem.
   - At the strategic goal level we begin to define what that "something" could be.

5. Strategic Goals and Objectives.

a. A distinction should be made between strategic goals and objectives.
   - As defined, a goal is:
     - A desired future state expressed as results to be achieved, usually general, and not time-bound.
   - As defined, an objective is:
     - A specific condition to be attained by a specific set of activities,

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stated in time-limited and measurable terms.
   - Goals state what is wanted whereas objectives state what will be accomplished to get to those goals.
   - Goals are stated in general terms whereas objectives are stated as specific measurable conditions.
   - Goals are not bound to a specific deadline whereas objectives are tied to specific activities and a schedule for completion.

b. To summarize the relationship between the different levels of goals and the relationship between goals and objectives, we can state the following:
   - The normative goal is the highest level goal on which the rest of the structure is hung. They indicate what ought to be accomplished.
   - The strategic goals represent more specific and concrete statements of what can be accomplished in order to pursue the normative goal.
   - Objectives are even more detailed and specific statements of what will be accomplished. They are distinguished from goal statements in that they should

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be specified in terms of measurable outcomes to be observed within a given time frame. Taken together or in sets, the objectives should lead to the accomplishment of the strategic goals of a program.

6. The Purpose of Strategic Goals in Program Development.

   a. The purpose of strategic goals in program development is to focus attention on the end points of the program.

   b. Strategic goals perform several functions:

      - They force persons in the process to be <u>explicit</u> about the conditions or situations they want to <u>change, eliminate, or create</u>.
      - They force persons in the process to <u>commit</u> themselves to solving a problem.
      - It creates a <u>common interest</u> between different groups and persons.

   c. Strategic goals make it easier for the program developer to begin thinking about different strategies to solve problems.

      - They specify the points the developer has to reach for the program to succeed.

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      - They close off certain options so that attention can be better focused.
      - They provide an opportunity for viewing the problem and possible solutions from a comprehensive perspective.

7. The Strategic Goal Development Process.

   a. There are three steps involved in strategic goal development:

      - Identifying potential strategic goals.
      - Drafting the strategic goal statements.
      - Developing the strategic goal decision package.

   b. There are two primary sources from which potential strategic goals can be identified.

      - Normative goal statements, and
      - The Problem Statement.
      - Strategic goals should result from a consideration of <u>both</u> the normative goal and the Problem Statement.

   c. Normative goals provide a source for potential strategic goals in that they reflect:

      - The original concerns which brought the problem to the attention of decision-makers and may provide the basis for setting goals.
      - <u>Example</u>: If the problem of juvenile gangs was identified because of a rising level of juvenile violence, reducing that violence is a logical strategic goal for the program.

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- The individual or collective wishes of decision-makers may also be sources of strategic goals - particularly the wishes of decision-makers in agencies that will implement the program.
- Example: If the program developer knows that the local court will be responsible for administering the program to address the problem of juvenile runaways, the developer should find out what the goals of the persons in the court would be toward this problem.
- The standing policies and goals of the planning agency may provide additional guidance on desirable strategic goals.
- Example: If the planning agency has a policy to minimize the incarceration of juveniles, and this goal fits within the general framework of the proposed program, the goal should be considered.

8. Using the Problem Statement to Identify Potential Strategic Goals.

   a. The other primary source of potential strategic goals is the Problem Statement.

      - The strategic goals of a program should be based on a detailed appraisal

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of the problem to be addressed as the problem is presented in the Problem Statement.

- Specifically, strategic goals should reflect the most important components of the problem as indicated in the problem statement.
- By "important components" of the problem we mean those critical conditions or events, that appear to contribute the most to the problem.
- A single Problem Statement may identify one or more important components of a problem that should be addressed in order to solve the problem.
- Example: A study of the problem of recidivism identified four key problem components that largely determine whether or not a person will commit new crimes after release:
  - Peer group pressure.
  - Ability to find employment.
  - Economic and psychological support systems.
  - Individualized follow-up by someone in the community.

  The implication of this study is that, if the problem of recidivism is to be

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significantly addressed each of these components would have to be handled. If only one or some of these components are addressed it is likely that the problem would be only partially affected.

b. Identifying the major components of a problem is a task which must be based on a detailed understanding of the problem.
   - There are no fixed rules or criteria which will identify these features of a problem automatically.
   - Different persons will disagree about which components of a problem are more important than others.
   - Very often the important components of a problem only emerge after a great deal of research, analysis and debate about a particular problem.

c. There are specific techniques which can help program developers and decision-makers reach an agreement on the most important components of a problem.
   - In the exercise which follows this lecture you will practice one such technique - the Nominal Group Technique (NGT).
   - The text which accompanies this module will discuss the NGT as well as other techniques of this type.

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9. Desk Activity - Identifying Potential Strategic Goals From a Problem Statement.
   a. To illustrate how strategic goals can be identified from a Problem Statement, read the abstract of a problem statement on the problem of low conviction rates in your Student Guide.
      - Assume for purposes of this exercise that the facts in the Statement are all correct.
   b. First list all of the components of the problem on the lines below the Statement.
   c. Then examine the components and identify the two or three most important components of the problem. List these on the lines according to the printed instructions.
   d. We will discuss your findings after you have finished. Take 15 minutes to complete the activity.
      - Any questions? (Begin)

e. Debriefing points:

- Have one participant read off his/her list of components.
- Ask if there are any other components that should be included in the list.
- Ask a second participant to indicate what he/she considers to be the most important components of the low conviction rate problem. Encourage discussion.
- In the discussion or in a wrap-up of the activity emphasize the following points:

1. Strategic goals should be developed to address the most important components of the problem as described in the Problem Statement.
2. The most important components of a problem emerge only after the problem has been thoroughly digested and understood.
3. Persons may not always agree on the most important components of a problem - particularly when several persons are involved in the decision. (This example was fairly straightforward).

End of desk activity

10. The Importance of Developing Integrated Strategic Goals.

a. The selection of a specific set of strategic goals is the single most important factor in shaping the course of a proposed program.

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- The strategic goals that are selected will dictate where the program developer will look for different strategies.
- The selection of certain strategic goals over others will eliminate a variety of strategies from further consideration.

b. The strategic goals selected for further development should reflect a basic policy-orientation toward the problem. Among the different policy orientations that might be adopted are:

- To attack the presumed causes of the problem, (e.g., sale of handguns).
- To attack the immediate circumstances that are associated with the problem (e.g., putting locks on doors to frustrate burglars).
- To relieve or reduce the secondary effects of the problem (e.g., provide crisis counseling to crime victims).
- To improve the ability of the criminal justice system to respond to the problem (e.g., provide training, additional personnel, better equipment).
- or combinations of each.

c. The selection of a set of strategic goals can thus be guided by the earlier assessment of the problem statement in which the

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Refer back to the earlier discussion of presumed causes, primary and secondary effects and system response components if necessary to clarify this point.

presumed causes, primary and secondary effects and system response components were identified.

- It is sometimes recommended that the primary emphases in a program should be placed on those components of the problem about which the most is known.
- However, since more is usually known about the way the system responds to a problem the tendency may be to focus too heavily on addressing those components of the problem and ignore components relating to presumed causes or secondary effects.
- Question to the Participants: In your agencies what is the general policy-orientation toward most problems? Has there been any change, i.e., away from the CJS and more toward the presumed causes of problems?

d. Goals should be selected that, taken together, tend to enhance the effectiveness of other parts.

- The differences between a program and a collection of projects is not that the projects are all supported under the same category, but that they work together in a particular way to effect a

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Class discussion

common problem.

- In recommending strategic goals to decision-makers, the program developer should be careful that the set of goals presented do not contradict or interfere with each other.
- Example: A classic case of a program with contradictory goals is the program to put police officers in schools to reduce violence and vandalism. In some programs the police officers were asked to patrol the hallways; looking for drugs protecting teachers and property, breaking up fights; while at the same time they were also asked to provide advice and counseling to students and improve juvenile attitudes toward the police department.

e. Discussion point: Is it better to select goals that deal with the causes, primary effects, secondary effects, or system response? When? Why?

11. Drafting Goal Statements.

a. The format of a goal statement is:

- An action verb (a) followed by
- A statement of what is to be accomplished (b).

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10 minutes for discussion

b. Examples:

- A goal of this program is:
  - To (a) reduce (b) the availability of handguns to persons under age 18.
  - To (a) improve (b) the promptness and quality of medical services to robbery victims.
  - To (a) increase (b) the percentage of reported robberies cleared by arrest by the police.

c. The characteristics of a good goal statement are:

- Clarity.
- Specific to the problem (not all-purpose standards-and-goals type goals).
- Reflect agreement among interested parties.
- Flexible.
- Not restrictive.
- Not too ambitious.
- Positive.

d. A good goal statement should suggest a sense of what is desirable and feasible in relation to a particular problem.

- The statement should be positive in tone and convey a challenge to persons in the program.
- The statement should reflect a realistic sense of what can be accomplished.

d. Examples: The following statements reflect varying levels of quality in goal statements. (Ask the participants to rate the quality of these statements on the basis of the criteria suggested above.)

Notes and Comments
Good
Good
Mission Statement
Too ambitious
Negative
Confusing Where did the 15% come from? Really an objective?
Too restrictive

12. Preparing the Strategic Goal Decision Package.

a. The selection of a set of potential strategic goals is a major <u>decision point</u> in the program development process.

Display Visual I-C from Module I

- Based on this decision the program

Notes and Comments

developer will begin identifying and refining strategies to meet the strategic goals.

b. At this point in the process the strategic goals selected for further development are still only potential goals.
   - Before a final decision can be made more must be known about the logic, feasibility, cost, etc. of the different strategies the strategic goals could generate.
   - Consequently, this decision is only the first of a series of steps - but it is a very important step.

c. Because the selection of a set of potential strategic goals is an important decision, it may be necessary to take the decision to a higher authority (e.g., a supervisory board, agency manager, etc.).
   - Different agencies will have different policies about this decision. However, we are assuming that at some point the program developer will be asked to explain how and why certain strategic goals were developed.

d. To facilitate this decision the program developer should prepare a decision package which summarizes the work that has been completed to this point, and lay out the

Notes and Comments

options to the person(s) who will make the decision.

e. The decision package should consist of the following items:
   - The normative goal statement which the strategic goal addresses.
   - Abstracts of the portions of the Problem Statement out of which the strategic goals were identified.
   - A listing and a brief description of the major components of the problem drawn from the Problem Statement.
   - The strategic goals statements.

f. An example of such a decision package is shown in your Guide.
   - Take a few moments to examine the form. Are there any questions or comments about this form?

See page 24a.. This format is taken from the management course

13. Summary and Review.

a. We have now taken the first step in the development of a program.
   - In Module II we discussed the importance of developing a detailed understanding of the problem the program is to address.
   - In this Module we began to apply that knowledge to the development of a set of potential strategic goals.

b. We also discussed the following topics:

- The role of the program developer in developing and selecting strategic goals.
- The purpose of strategic goals in program development.
- The different types and levels of goals:
  - Normative Goals
  - Strategic Goals
- The distinction between goals and objectives.
- The strategic goal development process.
- Using the Problem Statement to identify potential strategic goals.
- Drafting the goal statement, and
- Preparing the strategic goal decision package.

c. After the workshop, we will begin to use these strategic goals to help identify strategies that will best meet those goals. This will be done in Module IV. But first, we need to practice what we have learned in this Module.

Notes and Comments

Module III: Developing Strategic Goals
Segment B

Workshop on Using the Nominal Group Technique to Identify the Important Components of a Problem

LECTURE GUIDE

1. Introductory Statement.

   a. In this workshop you will be given a chance to practice a technique to identify the most important components of a problem from which strategic goals can be developed--The Nominal Group Technique.

   b. Your assignment in this workshop is to identify the most important components of the arson problem, based on the normative goal, and the information in the Problem Statement you have read earlier, and to then draft appropriate strategic goal statements for three of these components.

      - You are to identify strategic goals for the entire problem of arson--not for one component or area of the problem.

   c. The strategic goals you develop should be consistent with the facts contained in the Problem Statement and the normative goal established for this problem area.

   d. The goals should also be consistent with the guidelines discussed in the previous lecture.

      - The goals should be written at the strategic level--indicating what can be done.
      - You should develop multiple strategic goals to reflect the most important component of the problem.
      - The goals should also reflect a general policy-orientation toward the arson

Notes and Comments

The normative goal statement is given to students in the workshop

problem and tend to reinforce each others effectiveness (i.e., try to keep the goals consistent among themselves).

e. At the conclusion of the exercise - after each group has presented its decision package, you will be led through the selection of a single set of strategic goals which will guide your work through the rest of the week.

2. Note on Goal-Setting.

a. In the lecture we emphasized the importance of goal-setting in program development - how the goals will shape the nature of the program more than any other factor.

b. In this exercise you should keep in mind that you may be required to live with the strategic goals you develop for the remainder of the week.

3. Note on Nominal Group Technique.

a. Your instructor will lead you through the exercise - you will be working in small groups.

b. At the end of the workshop you will present the goals you develop after which we can also discuss any questions you may have about the Technique itself.

c. I will now asign you to your groups.

Notes and Comments

See Instructor's Note

INSTRUCTOR'S NOTE

In this exercise, the trainees will be led through a Nominal Group Technique process. No preliminary lecture of this technique will be given. After the participants have gone through the process, a lecture will be given followed by a debriefing. This introductory material covers the preliminary administrative arrangements.

Module III: Developing Strategic Goals
Segment B

Workshop on Using the Nominal Group Technique to Identify the Important Components of a Problem.

FACILITATOR'S GUIDE

1. Preliminary Preparations.

   a. Read the roster of names of the persons assigned to the group, assuring that everyone is in the proper group.

      - If a person has mistakenly joined the wrong group, direct him or her to the proper location.

   b. Check to see that all of the necessary materials are available.

      - Flip chart.
      - Masking tape (to mount sheets in full view).
      - Pack of 3 x 5 cards.
      - Felt pens (to record items on flip chart).
      - Paper and pencils for each participant.
      - Each participant should have a copy of the problem statement.

   c. Check to see that the seating arrangement is set up so that everyone can clearly see the flip chart.

Notes and Comments

Notes and Comments

2. Welcoming Statement.

   a. Read the following opening statement:

"This exercise has two purposes. The first purpose is to permit you to practice a useful technique - The Nominal Group Technique. The second purpose is to have you identify and select the important components of the arson problem and to then draft strategic goal statements for the components that emerge as most important out of the NGT process."

"For the Nominal Group Technique to work properly it is important that all of you participate as fully as you can. It is important that we work as efficiently as possible. I will keep track of the time and let you know when we are taking too much time. We have two and one half hours to finish the exercise. This should be more than sufficient."

"The Nominal Group Technique has six steps. I will lead you through the steps one at a time. Two of the steps involve a vote. Keep this in mind as we proceed. The final vote will produce the group's answer to the question we are to discuss."

"After we have completed the NGT we will draft strategic goal statements for the most important components of the problem and then prepare a presentation following the decision package format discussed in the lecture."

"For purposes of this workshop, assume that we are responsible for developing and proposing a set of strategic goals for the arson problem in the Central City Region. The Planning Commission has established the following normative goal:

'To reduce the number and consequences of arson fires in the Central City Region.'

Remember that we are to deal with the entire arson problem - not just some part of it."

You may want to write this on the flip chart.

"Would each of you please read the question on the top of the worksheet carefully."

"The question to which we will direct our attention is:"

What are the important components of the arson problem in Central City, as it is described in the Problem Statement?

"For the next five minutes, after I ask you to begin, list your responses to the question on the worksheet. List as many important components of the problem as you can think of in that time period."

"Please work independently, without speaking or interrupting the others."

"Work on this question for the full five minutes. At the end of that time, I will ask you to stop writing and indicate how we will proceed."

"Are there any questions?"

3. Step 1.

When all questions have been answered, announce that the group has five minutes to write down their ideas.

- Persons who violate the rule on silence or non-collaboration should be corrected by addressing the group as a whole through a repetition of the instructions. Do not address the person directly.

Notes and Comments

NOTE: Question is in the Student Guide The rating sheet for the final vote is on the back of this form. Point out that the strategic goals per se will be developed later. At this point the NGT is being used only to define the important components of the problem!

See Note

See Note

FACILITATOR'S NOTE

Answer all questions before beginning the process. Make certain all members are clear about what they are to do. However, do not provide examples to clarify the process. If a member asks "Is _____ a good answer?", your response should be that any idea that comes to mind should be written down and that there are no correct or incorrect responses. You might also suggest to the group that they not focus on any one response for too long, but attempt to generate as many good responses as possible (e.g., based on the arson problem and consistent with the normative goal.)

4. Step 2.

After five minutes have elapsed, the facilitator should ask the group to stop writing, put down their pencils, and instruct them on the next step as follows:

"Now that we have had a chance to write down our ideas, we can begin to share them with the group."

"I will go around the room and ask each of you to read one of your ideas to the group. The idea will be written on this flip chart. Put off discussing the ideas until all of them have been recorded."

"If someone else provides an idea that you feel is the same as one of your own, do not repeat the idea but provide one not already given. If someone's idea leads you to think of an additional idea, you may add it to your list. I will continue to go around the group until all ideas have been presented."

5. Step 3.

After all ideas have been recorded, the leader should lead the group through a serial discussion of each item. The trainees should be instructed as follows:

"Now that we have listed our ideas, we can begin to discuss each in turn."

"The purpose of the discussion is to insure that we all understand the meaning of each idea. Also, we can use this opportunity to give reasons why we might agree or disagree with particular ideas."

"We can take up to 20 minutes to discuss these ideas. Please do not spend too much time on any one item, so we can cover each in that time."

"I want to encourage everyone to participate, but do not feel obligated to speak unless you have something to say about an item - even if it is one which you suggested."

Notes and Comments

See Note

FACILITATOR'S NOTE

Be certain to number each idea as it is presented. Record the response as quickly as possible in the words of the person providing it. If the idea is not expressed in a short statement, try to have the person reword it in a shorter form. Do not try to edit or comment on statements or eliminate any ideas out of hand. Make certain the author of a statement is satisfied with the way the idea is worded on the chart. If more than one sheet is needed, tape each sheet onto the wall where they can be clearly seen.

b. The leader should indicate the first idea and ask:

"Are there any questions or comments about this item?"

6. Step 4.

a. After every idea has been discussed and clarified to everyone's satisfaction the leader should indicate that a vote will be taken on the items. The facilitator should begin passing out the 3 x 5 cards and instruct the participants as follows:

"Each of us should have "N" 3 x 5 cards in front of us. Carefully examine the list in front of the group and select the "N" components of the arson problem you consider to be the most important."

"In any order, write the number of the ideas you select on the cards, one number per card. Place the number in the upper left hand corner of the card. After you have placed a number on each card, go back and write the corresponding component on the card. You may take up to 10 minutes to make your selections and record them on the cards. Consider carefully before you make your selection."

"When you have completed your selection and have written the statements on the cards, please sit quietly and wait for the others to finish."

b. When everyone has finished selecting and recording their items, the facilitator should instruct the group as follows:

"Spread all of the cards out in front of you so that you can read each idea."

"Study the cards carefully and select the components of the arson problem that you consider least important."

Notes and Comments
See Note
"N" should be about 40 percent of the total number of items up to a maximum of 9 items.
Illustrate the recording of the item number by holding up a sample card.
The selection of items should not begin until all questions have been answered.

FACTILITATOR'S NOTE

In leading the discussion the facilitator should enforce the rule that comments only be made to the group as a whole and not to specific individuals. The facilitator should permit disagreements to be aired but should not permit two persons to argue over a point any longer than necessary to get all views out into the open.

If no one comments on an item the facilitator may make a comment or ask another person to explain what their understanding of the item is. The facilitator should not rush the discussion or purposely cut off someone with a comment. However, it may be appropriate to reduce overlong explanations. At the point where the same point is being repeated the facilitator should move the discussion on to the next point. Whenever possible the facilitator should allow the group to pace itself.

"In the lower right hand corner of that card, write the number "1" and underline it three times."

"Place the card aside, face down and select the component you consider to be the least important of those remaining. Write "2" on that card."

c. When all the cards have been numbered, the facilitator should collect all the cards, shuffle them and begin recording the vote on the flip chart.

- A trainee seated near the front may be recruited to read off the results while the facilitator records the vote.

7. Step 5.

a. After the vote is tallied, the facilitator should take a few minutes to allow the trainees to study the vote. The facilitator should jot down notes on those items which reflect inconsistencies or anomolies in voting. Then the facilitator should instruct the group as follows:

"At this point it may be worthwhile to discuss the vote we have just taken. This is not to force anyone to change his or her vote, but to clarify why people voted as they did."

"Does anyone have any comments to make about item #N?"

b. At the end of the discussion, the facilitator should repeat the opening statement as follows:

Notes and Comments
Demonstrate the location of the number on a sample card. Continue this process until all the cards have been ranked by number.
See Note

FACILITATOR'S NOTE

The discussion should be focussed on those items which present evidence of inconsistency or polarization. Items which received consistently high rankings or no ranking at all need not be discussed unless someone in the group wishes to comment on them. The facilitator should not force anyone to justify their vote unless the person volunteers to do so. The discussion should be focussed on one item at a time with an emphasis on explanation rather than argument. Again, the facilitator should enforce a rule against direct comments to individuals and direct all comments to the group as a whole. The discussion should be kept short and not focussed on one idea for too long.

"Let me repeat again that this discussion was intended only to clarify the reasoning behind the vote - not to force anyone to change his or her vote. Indeed, you should think carefully before changing your vote. If, however, you have been convinced by this discussion, you may feel free to change you vote."

8. Step 6.

a. The facilitator should now have the participants locate the rating sheet and instruct them as follows:

"For this final vote, we are going to use a different method of rating the ideas. Instead of ranking items, we are going to assign numerical scores to each idea."

"As we did the last time we voted please select the "N" components of the problem you consider to be most important. Write the numbers corresponding to those items in any order on the rating sheet in front of you under the column heading labeled "Item Number." This is the column on the far left side of the page."

"When you have selected all of the items, please write in the statement corresponding to the number under the column labeled "Item Description." Be sure that the statement corresponds to the number in the far left column."

"Now please note the numbers on the right side of the page opposite each line. The numbers range from "1" to "10". On this scale "1" means that an idea is not very important and "10" means that it is very important."

"You may give the same score to more than one idea if you think they are of equal importance."

"We can take up to 10 minutes to complete this vote. When you finish, please sit quietly until the others finish."

Notes and Comments

The rating sheet is on the back of the form with the NGT question. (Copies can be found on pages 17 and 18)

These items do not have to be the same ones selected the first time.

Notes and Comments

b. After the vote is taken, the facilitator should ask the group to fold the rating sheet in half and collect them from each member individually.

- The facilitator may now call a brief recess while the results of the vote are tabulated.
- If other groups in the same room are still working, the group should be asked to leave the room for a fixed period. Otherwise, they can speak with each other in place.

c. During the recess, the facilitator should compute the average rating of all items. A score should be assigned even if only one person rated a particular item.

Divide the total ratings by the total number of people in the group (3 nine ratings would average 3.8 if there were 7 in the group).

d. When the participants return, the facilitator should report the results of the vote to them indicating:

- How many persons selected an item as being important, and
- The average score based on the ratings assigned.

e. Based on the vote, the facilitator should point out which items received the highest average ratings and how many gave each a rating. This should be noted on the flip chart for everyone to see.

This is the end of the NGT. The Goal Statement drafting step is carried out in the same group, but this is not part of formal NGT process. This must be pointed out to the group.

Notes and Comments

9. Drafting the Strategic Goal Statements.

   a. The participants will now draft strategic goal statements for the <u>three</u> components that ranked the highest in the last vote.

      - If there were ties among the top three scores, the tie should be broken by a show of hands. Remind the group that they may be required to work with one of these goals during the rest of the week.
      - Indicate to the group that they are drafting only three goal statements because of time limitations. If this were a real planning body, a statement would be drafted for <u>all</u> of the components of the problem the group considered important.

   b. Break the group up into <u>three</u> smaller groups and assign each the responsibility for drafting one of the three strategic goal statements.

      - Have the groups write their goal statements on a flip-chart page for the presentation.
      - Remind the groups to follow the format and criteria discussed in the lecture.

Notes and Comments

10. Preparing the Presentation in the Format of the Strategic Goal Decision Package.

    a. The presentation before the main group should follow the format of the Strategic Goal Decision Package discussed in the lecture.

       - Blank copies of the <u>Strategic Goal Decision Package Form</u> are in the Participant Guide, page III-B-3, and should be used to record their strategic goal.

       These forms are very similar to the form used in the management course, as shown earlier in the module.

       - Tell the groups that they must be able to cite the particular parts of the Problem Statement which led them to select each strategic goal. (Page & Section)
       - Remind the groups that they will be asked to indicate the important component of the problem upon which the strategic goal was based.
       - Also remind the group that they should be able to relate the strategic goals back to the normative goal for the arson problem area.

    b. After each small group has completed its work, discuss each goal and then select one person to present each goal and the decision package material to the main body.

       They should prepare a flip-chart with the key information on it.

       - The groups will each be given 15 minutes to make their presentation--5 minutes per goal.

    c. Direct the group back to the main meeting room.

Module III
Segment B Workshop on Nominal Group Technique

FACILITATOR'S GUIDE

Task Outline

- Opening Statement
- Distribute & Read NGT Question

- Step 1: Silent Generation of Ideas (6 minutes)
  --Instructions
  --Group Writes Down Ideas

- Step 2: Recording of Ideas (11 minutes)
  --Instructions
  --Recording of Ideas on Flip Chart*

- Step 3: Serial Discussion of Ideas (21 minutes)
  --Instructions
  --Discussion, Idea by Idea

- Step 4: Initial Vote (30 minutes)
  --Instructions
  --Distribute 3 x 5 Cards
  --Explain Card Format
  --Selection of Ideas
  --Instructions on Ranking
  --Ranking of Ideas
  --Tallying Vote on Flip Chart**
  --Note Discussion Feature

- Step 5: Discussion of Vote (21 minutes)
  --Instructions
  --Discussion

- Step 6: Final Vote (23 minutes)
  --Instructions
  --Distribute Rating Sheets
  --Voting
  --Tally Vote
  --Announce Vote

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*Do not eliminate items during the recording of ideas - allow the participants to do this through discussion in Step 3.

**Merely record the votes on the sheet after evey item - do not compute an average score for each item.

- Step 7: Drafting the Strategic Goal Statements (10 minutes)

- Step 8: Preparing the Presentation and Decision Package (15 minutes)

Module III: Developing Strategic Goals
Segment B
Workshop on Nominal Group Technique

LECTURE GUIDE (continued)

1. Introduction.
   a. We will now have each of the groups present the decision packages they developed in the Nominal Group Technique Workshop.
   b. Each group will have 15 minutes to present its goals, after which we will debrief on both the goals and the NGT, and then select a final set of goals which we will then work with for the remainder of the week.
2. Presentations.
3. Debriefing on the Goals.
   a. For the next several minutes I would like you to critique these goal statements in relation to the guidelines discussed earlier in the lecture.
   b. In critiquing each goal statement recall the criteria we discussed in the lecture:
      - Do they appear to be based on the data presented in the Problem Statement?
      - Do they reflect <u>important</u> components of the arson problem?
      - Do they address the normative goal?
      - Do they follow the format of a good goal statement?

Notes and Comments

Have the participants leave their goals mounted before the group after each presentation

Notes and Comments

- Do they have the characteristics of good goal statements:
  - Clear?
  - Specific?
  - Flexible?
  - Not overly restrictive?
  - Not overly ambitious?
  - Positive in tone?

4. Examples of Appropriate and Desireable Products.
   a. Strategic Goal Statements.
      - To reduce the number of arson fires set by juveniles
      - To increase public awareness of the arson problem
      - To increase the public's cooperation with arson control efforts
      - To improve the ability of arson control agencies to detect, clear, and prosecute arson cases
      - To improve the level of cooperation and coordination among arson control agencies
      - To reduce the personal and economic costs of arson to businesses and individuals
   b. Major Components of the Arson Problem and Citations in the Problem Statement.
      - The large number of arsons committed by juvenile fire-setters (p.30)
      - The lack of public awareness of the arson problem (p.30)
      - The lack of cooperation by the public with arson control agencies (p.25&26)
      - The unfavorable performance of arson control agencies in detecting, arresting, prosecuting, and convicting arsonists (p.28)

Notes and Comments

- The lack of cooperation among arson control agencies (p.27)
- The level of personal loss to citizens caused by arson (p.28)
- The lack of resources available to arson control agencies (p.27)

c. Relationship of Strategic Goals to the Normative Goal.

The Normative Goal is: To reduce the number and consequences of arson fires in the Central City Region.

The following are two examples of how strategic goals can be shown to relate to this normative goal:

- Strategic Goal: <u>To reduce the number of arson fires set by juveniles</u> - This strategic goal addresses the component of the problem which contributes the most to the <u>number</u> of arson fires in the Region - the juvenile arsonist.
- Strategic Goal: <u>To increase public awareness of the arson problem</u> - The lack of public awareness is thought to contribute to practices by the public which provide opportunities for arsonists. By addressing public awareness, this strategic goal would attempt to reduce these opportunities and thus, the number of arson fires. Similarly, the increased public awareness might lead to practices which reduce the personal costs and consequences of arson to individuals.

Notes and Comments

5. Selecting a Set of Strategic Goals.

a. In the lecture we discussed the need to select strategic goals that reflected a policy-orientation and which tend to complement and enhance each other.

b. From this point on in the process each of the three/four work groups will begin to develop more detailed strategies to meet a particular strategic goal. Taken together, these strategies will make up the program we are trying to develop.

- Remind the group that in a real planning situation there might be several work groups developing different areas of the program to meet many more strategic goals.

c. Since each group will be working more or less independently it is important that they start out with a coherent and consistent set of goals.

d. The instructor should lead the group to select a set of three/four goals from among the lists of goal statements presented to the group.

- Each group should have <u>at least one</u> of its goals selected in the final set.
- The selection should be made by consensus of the group.
- Encourage discussion if disagreements arise.
- The group should be encouraged to be explicit about the rationale for selecting a particular set of strategic goals.

6. Debriefing on the Nominal Group Technique.

a. In this workshop we used the Nominal Group Technique to identify important components of the arson problem.

- The NGT could also be used to set priorities between problems or identify possible strategies.

b. A detailed discussion of how the NGT is carried out, why it is carried out as it is and some of the issues relating to its use, is included in the text for this course.

c. Now, are there any comments or questions relating to the NGT? (You should be familiar with the Background Material that follows for general support on NGT).

Notes and Comments

The instructor should spend no more than five minutes on the NGT. Refer the participants to the discussion in the student text.

Module III
Developing Program Goals: Workshop

Notes and Comments

BACKGROUND NOTES FOR WORKSHOP #3: Using the Nominal Group Technique in Setting Priority Criteria

1. Background for NGT.

a. The purpose of this material is to provide background information on the NGT.

b. Familiarize yourself with this material so that you can answer questions on the technique during the debriefing.

c. Participants should be aware that the Text to the course contains information on the NGT.

2. What is the Nominal Group Technique?

a. The Nominal Group Technique (NGT) is a <u>structured</u> group process which follows a prescribed sequence of steps to reach decisions.

b. The NGT is a valuable device for making decisions when:

- The decision-making situation involves a very complex problem, and
- The judgments and opinions of several individuals must be collected, considered and reconciled.

c. The NGT has been used in a variety of settings (e.g., health, industry, education and criminal justice) to

make the following decisions:

- Identifying the elements of problems.
- Identifying the elements of program solutions.
- Establishing priorities and goals for programs.

d. When it is used properly NGT can produce high-quality decisions and a high degree of agreement and satisfaction among participants.

3. The NGT Process.

a. NGT is carried out in small groups of between five to nine persons.

- Research on groups shows that this range is desirable in order to assure that the group's work is productive without becoming unmanageable.
  - More than 5 people are needed to provide the breadth of experience and independent judgment.
  - When groups of 10 or more are used, the process can bog down in factional disputes or because of the sheer amount of record-keeping involved.
- Groups larger than 9 can be accomodated as we will demonstrate later in the process.

Notes and Comments

b. The members of an NGT group focus on a single question, which has been selected beforehand, and are led through a six-step process to reach a final decision.

c. Each step in the process will be discussed in detail. Briefly, the steps in the process are:

1. Each participant works independently to generate a set of responses to the question being considered.
2. The group leader collects the responses of all the participants and records them in a fashion that all members can see.
3. As a group the responses are clarified and discussed.
4. Each participant votes independently on each response.
5. The results of the vote are discussed by the group.
6. A final vote is taken.

4. Preliminary Preparations for NGT.

a. Before conducting an NGT exercise, there are certain preliminary preparations that must be made. These are outlined in the Appendix of the Student Guide for later reference.

Notes and Comments

- Meeting rooms should be large enough to permit each participant to have an individual writing space.
- Participants should be arranged so that each can easily see a flip chart or some other area where ideas and responses are to be recorded.
- Each participant should be supplied with paper and pencils and a set of 3 x 5 cards.

b. Before the process begins, the group leader should make an opening statement.
   - The statement should include a warm welcome of the participants.
   - The statement should convey the importance of each member's participation in the process.
   - The statement should state the use and importance of the meeting's outcome.

5. Step 1: Silent Generation of Responses to the Question.
   a. The first step in the NGT is to have the participants write their responses to the questions silently and independently.

Notes and Comments

See Note

INSTRUCTOR'S NOTE

Example of an Opening Statement:

"I want to thank you for attending this Nominal Group Technique process. I appreciate the time you have taken to participate in this exercise."

"We have an important objective to accomplish in this session. (The specific purpose of the meeting should be stated here.)"

"In our meeting it is important that each of us participates fully. Each of us is an important resource. Our success depends on every member sharing his or her insights and experience. Our success also depends on each of us working intensely while we are together."

"The ideas we generate here will be the basis for many other decisions now and in the future."

b. The leader presents the question to the participants in written form and asks them to read along as he verbally presents it.

c. The leader then asks the group to write their responses in brief phrases or statements within a given time limit (usually 5 minutes).

- The leader should ask the participants to work silently and independently.
- The leader should resist providing sample answers or responses. If a participant asks for clarification on what to do, the leader should assure him or her that there are no "right" answers and that whatever comes to mind as a response should be written down.
- The leader should set an example by working on the question with the others while enforcing the rule of silence and independent work.

6. Step 2: Recording of Responses.

a. After the time limit has elapsed, the leader will record the responses on the flip chart so that they are visible to the entire group.

Notes and Comments

b. The recorder goes around the table and asks each participant to provide one idea or response at a time and writes it on the flip chart.

- This process of only taking one idea at a time from the participants de-personalizes the responses and encourages the thoughts and ideas of others.
- The leader should verbally encourage persons to write down additional ideas on their lists if someone else's response gives them a new idea.
- The leader should tell the participants to not repeat an idea or response if someone provides it before them. However, variations on a response should be encouraged.
- Responses should be recorded as quickly as possible in the words of the person who provided it.
- All responses should be numbered sequentially.

7. Step 3: Discussing and Clarifying Responses.

a. When all of the group's responses have been recorded, the leader should take the group through a serial discussion of each in turn within a fixed period of time.

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b. Taking each response in turn, the leader asks the group if there are any questions, clarification, agreements or disagreements with the response.
   - The leader should not permit the group to discuss one response for any longer than it takes to air all of the groups views or questions.
   - The discussion should be aimed at clarifying viewpoints rather than argumentation.
   - Each response should be given approximately an equal amount of attention.
   - The author of a response is not responsible or obliged to defend or explain an item.

8. Step 4: Preliminary Vote on the Responses.
   a. After the discussion of all items has been completed, the leader should proceed to conduct a formal vote on the items.
   b. The leader asks the participants to select a number of 3 x 5 cards.
      - The number of cards may vary from 5 to 9, depending on the number of responses on the list. (Nine items is about at the maximum limit of most persons' ability to accurately rank or rate.)

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   c. The leader asks the group members to carefully examine the list of items and to select the 5 to 9 items they consider most important.
   d. When the participants have selected their items, they should record them on the 3 x 5 cards by placing the number of the item in the upper left hand corner of a card (one item per card).
      - The leader should clarify that the participants should use the numbers on the chart and illustrate the step visually.
   e. The participants should then write the phrase or statement on the card corresponding to the item number.
   f. The leader should ask the participants to array the cards in front of them and, after studying them, select the response they consider least important.
   g. The leader should then ask the participants to write the number 1 on the item in the lower right hand corner of the card and underline it three times.
   h. The card is then turned over and the process is repeated for the response ranked next lowest among the remaining items (2).
      - The process is repeated until all cards have been rated. The last number is the same as the number of cards.

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i. The leader then collects the cards, shuffles them to preserve anonymity, and records the vote on the chart. (They can be averaged. Divide total by number of people in the group.)

9. Step 5: Discussion of Preliminary Vote.

a. The NGT process may be stopped after the first vote.

- If a clear consensus emerges, there may be no reason to continue the process.

b. However, if no consensus emerges or additional accuracy is desired, the process may be taken through an additional cycle of discussion and voting.

c. The leader leads the group through a brief discussion of the vote focusing on:

- Inconsistent voting patterns, e.g., response items which received a significant number of both low and high rankings.
- Response items which are perceived as having received very many or very few votes.

d. The leader should focus on clarifying the reasons for votes and on eliciting additional information or logic.

- The discussion should be brief.
- The leader should not allow the discussion to evolve into a debate over the vote or force persons to justify their votes to the group.

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- The leader should emphasize the need to share reasoning and information.
- The leader should set a time limit on the discussion to assure that all items receive equal consideration.
- The leader should emphasize that persons should not feel compelled to change their votes unless they are convinced by the information provided by others.

10. Step 6: Final Vote.

a. After a brief discussion, the leader leads the group through a final vote.

- The procedure used in Step 4 may be repeated, or
- An alternative rating method may be used which clarifies the difference and strength of the members' judgments.

b. If an alternative rating method is used, the participants are asked to individually select 5 to 9 response items they consider most important and to assign a numerical weight of 1 to 10 for each.

- A "1" rating would indicate very low importance; a "10" rating, very high importance.
- Each member works independently and silently.

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- The leader should point out that the same weight may be assigned to different response items.

c. After the voting is completed, the leader compiles the vote and calculates the average rating score for each item and the number voting on that item.

d. The leader then notes the highest average plus number voting, next highest, etc. This completes the process.

11. NGT for Groups Larger Than Nine Members.

a. If the number of persons to be included in the NGT is larger than 9, the process may be modified without distorting the results.

b. Before the question is presented, the group is divided into smaller groups of between 5 to 9 members.

- The groups should be of approximately equal size.
- Assignment to groups should be random, or if some feature distinguishes the members (e.g., rank, seniority, expertise), the selection should produce a balanced mix of persons in each group.

c. Each of the smaller groups will then carry out Steps 1 through 4 separately.

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d. After Step 4 has been completed by each group, a brief recess will be called while the leaders compile and reconcile the responses and votes of the groups as a whole.

- If two or more groups produce nearly identical responses, these items should be combined along with the votes cast for the items.

e. The group is then convened as a whole and is led through a serial discussion of the items as described in Step 5.

f. Following a discussion of each item, a final vote is taken as outlined in Step 6.

g. The leaders then compile the vote of the whole group, announce the results and adjourn the meeting.

12. Writing the NGT Question.

a. The most important preliminary step in preparing for NGT is the drafting of the NGT question.

- An inappropriate question will result in a great deal of mental energy being devoted to providing unneeded or superfluous answers.

b. The drafting of the question should be carried out in four steps:

1. The objective of the NGT meeting should be discussed and identified in writing by staff.
2. The staff should draft examples of the kind of response items desired in terms of level of abstraction and scope.
3. Alternative questions should be drafted which are thought to elicit the desired responses.
4. Each of the alternative questions should be pilot-tested by persons not involved in the drafting of the questions or the desired response items.

c. The question which comes closest to eliciting the kinds of responses desired should be selected.
   - If no question produces the desired responses, the questions should be refined, redrafted and retested.
   - The question should be drafted so as to elicit the desired level of abstraction and scope. It should not be drafted to elicit specific responses in a substantive sense.

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13. Who Should be Selected to Participate in NGT.

a. The selection of persons in an NGT should reflect the question for which an answer is desired.
   - Persons selected should be able to understand and respond constructively to the question posed in NGT.
   - The persons should also have a "stake" in the outcome of the process.

b. Persons should be selected to reflect a variety of relevant viewpoints and areas of expertise.
   - NGT can be a powerful tool for bringing out several points of view and a great deal of information about a given topic.

Notes and Comments

Module 4

DEVELOPING THE LOGIC OF DIFFERENT PROGRAM STRATEGIES

Module IV
Developing the Logic of Different Strategies
Segment A

INSTRUCTOR GUIDE

	Notes and Comments
1. Review and Introduction to Module IV.	
a. In this module we turn a major corner in the program development process. To this point, we have been concerned primarily with the problem.	Visual I-C
b. In Module II we developed an understanding of the problem by:	
• Breaking the problem down into its components and putting those components into categories.	
• Identifying relationships between components, and	
• Locating the problem in relation to other problems, i.e., setting priorities among problems.	
c. In Module III we began to use our understanding of the problem to:	
• Identify the most important components of the problem, and	
• Select a set of potential strategic goals that reflect the most important components of the problem.	

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d. In this module we will continue to use the understanding we developed earlier; but this time we will be looking for ways to address the problem.
   - We can refer to the analogy of a bridge. On one bank we have the problem. On the other bank are our goals. In this module we will start to design the bridge that will lead from the problem to the goals.

e. In this module we will discuss the following topics:
   - The role of the program developer in developing strategies
   - Collecting and assessing information on different courses of action
   - The importance of developing alternate or optional strategies
   - Defining what is meant by the term "strategy"
   - The two approaches to developing strategies-- working from the problem statement and working from strategic goals
   - Assessing the logic of different strategies
   - The importance of integrating strategies
   - Developing the strategy selection decision package

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2. The Role of the Program Developer in Developing Strategies

   a. Before we discuss the specific steps involved in developing strategies, we should again keep in mind the context in which we are working.

   b. The selection of a set of strategies is another important <u>decision point</u> in the program development process. Consequently, the final decision on a set of strategies may be made by someone other than the program developer.
      - Recall again the different roles the program developer could play in the process:
        - Full decision-maker
        - Staff member
        - Informed advocate

   c. In this discussion we will again assume that the program developer must answer to some higher authority and that the steps taken here are in preparation for presenting the facts and options to a manager or supervisory board.

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d. The final product of this module will be a decision package which will expand on the decision package prepared to select a set of strategic goals. This decision package will be used by decision-makers to select the strategies to be considered further.

3. Collecting and Assessing Information on Different Courses of Action.

a. Just as the program developer needs a detailed understanding of the problem, so too, the program developer needs detailed information about the different strategies that might be available to him or her.

b. By information we mean facts about:

- Different strategies that have been tried before to deal with the same or similar problem.
- The best available thinking and evidence about these different strategies in relation to how they are carried out, how effective they are, the problems they encounter or create and how much they cost.
- Ideas that have been proposed but never tried in a program setting.

c. A major part of the program developer's time and effort should be devoted to locating and assessing information about

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what others have done or have proposed in a given problem area.

- This information will not only help the program developer work through the logic of his or her own program, but will also help the program developer "sell" the program to decision-makers and ultimately to the persons who will actually implement the program.
- Without this information the program developer runs the risk of reinventing ideas that have already proved to be ineffective, or of repeating the mistakes of those who have tried an approach before.

d. There are numerous sources of information available to the program developer. They include:

- Experts in the planning agency
- Reports and records maintained by the agency
- Persons in other public agencies, including persons in non-criminal justice areas
- Professional associations in areas relevant to certain problems

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- Research and evaluation literature
- Professional journals and magazines
- LEAA-supported information sources (e.g., National Criminal Justice Reference Service)
- Professional and private consultants
- Persons in agencies who have implemented programs in the same or a similar area

e. By tapping these various sources, the program developer not only expands his or her own knowledge about what is possible, feasible, etc., but also can identify persons and agencies that could or should be involved in the planning or implementation of the program.

f. The text accompanying this module contains a detailed discussion of information sources and techniques for gathering and assessing different types of information. The participant should examine that discussion for more guidance on that subject.

4. The Importance of Developing Alternate or Optional Strategies.

a. There is almost always more than one way to meet a strategic goal and it is important that the program developer consider as many

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different ways as possible. There are several reasons for this:

- The greater the number of options available to the program developer, the greater the chances that he or she will identify one that best meets the particular circumstances of the problem and the jurisdiction.
- Strategy development is one of the areas in the program development process where the program developer can be truly creative and innovative. A little reflection at this point in the process could prevent the program from being a "knee-jerk" response to a problem.
- In many instances, the program developer will be required to justify his or her decision to explore or develop one strategy over another. By taking a broad view of available strategies, the program developer will be able to answer questions from decision-makers like, "Why didn't you examine strategy X in developing this program" or "Why don't you go back and try strategy Y?"

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b. By examining several alternative strategies, the program developer also can develop a series of fall-back positions if he or she runs into serious problems or opposition to a particular strategy.

c. The amount of time and effort the program developer can devote to developing alternative strategies will depend on several factors:

- The amount of time available
- The availability of information in a particular problem area
- The willingness of decision-makers to consider many different options

d. However, whenever possible the program developer should avoid leaping too quickly from the problem to the solution before considering as many options as possible.

5. What Is a Strategy?

a. To this point, we have been speaking about strategies in a very general way. We should now carefully consider what is meant by the term <u>strategy</u> in this course.

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- Definition: A strategy is a general approach to the accomplishment of a particular set of conditions or results implied or specified in a strategic goal.
- <u>Example</u>: Take the problem of reducing automobile-related injuries. There are at least two general approached to this problem: improving the ability of people to avoid getting into automobile accidents in the first place, or reducing the chance of injury if an accident does occur. In the sense of this course, each of these would constitute a strategy.

b. A strategy encompasses a variety of possible interventions or <u>elements</u>. An <u>element</u> is an activity or set of activities that implement the strategy or some aspect of the strategy.

- <u>Example</u>: The elements of the strategy to reduce automobile injuries by improving the ability of persons to avoid automobile accidents might be such activities as:

- Providing driver education
- Making roads safer to drive on
- Improving the handling of automobiles

- An element might be a single project or a set of projects performing the same activity (e.g., providing shelter to juveniles).
- An element might also be a single activity performed only once (e.g., submitting a draft of a new law to the State legislature).

c. At this stage in the program development process, we want to remain at the level of the strategy, rather than dropping down to the level of specific elements. The reasons for this are:

- We want to maintain a broad perspective at this stage to insure that a variety of possible strategies are considered.
- It is easier to evaluate the basic logic of a strategy at this level rather than becoming embroiled in the details of specific interventions or elements.

Notes and Comments
Emphasize the point that an element does not equate (necessarily) to a project. It is important that the student clearly understand that elements can be very simple or broad and need not always involve creating a new organization, finding new funding, or new personnel (e.g., changes in administrative rules or procedures could constitute an element, but could not be reasonably considered a project).

6. The Two Approaches to Developing Strategies

a. There are two basic ways to develop a strategy:

- Working forward from the facts of the problem toward the goals.
- Working backward from the goals to the solution.

b. Under ideal circumstances, the program developer should be able to work almost entirely from the facts of the problem in the Problem Statement to develop strategies.

- A well-researched Problem Statement will lay out not only what the problem is (i.e., describe the problem), but also what the factors are that contribute to the problem (i.e., explain the problem).
- With this information, the program developer's task is "easy"--the strategy to solve the problem will be to correct those factors that contribute to the problem.
- Example: If the Problem Statement indicates that the reason why the prosecutors are unprepared when they go into court lies in their not having enough time, experience, training or clerical support,

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See note.

Instructor's Note

The distinction between the two approaches to develop strategies is going to be difficult to maintain unless you keep reminding the participants that they are two approaches to reach the same end point--a program that works. In the first approach you have a good Problem Statement that contains solid information on the nature of the problem. You base your Strategic Goals on that information and then move toward possible interventions--based again on the Problem Statement. You are building the Program bridge from Problem Statement to Strategic Goals (left to right). In the second approach you have a weak Problem Statement, and you must work from your Strategic Goals backward to see what kinds of interventions might solve the problem (from right to left). You may want to diagram this for participants and leave it up for their inspection as you move through this material.

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the logical strategy to solve the problem is to provide prosecutors with more time, experience, training, etc.

c. However, in some instances the Problem Statement will provide little or no evidence of what contributes to the problem, or the explanation may be incomplete or questionable. In these instances, the program developer may be forced to develop strategies out of the strategic goals.

d. Very often the program developer will have to develop strategies using both approaches at the same time.

- Recall the earlier discussion about understanding a problem--no problem will ever be completely understood.
- Knowing what the contributing factors to a problem are will not always point out obvious strategies to solve the problem.

e. The program developer must be prepared to use both approaches when necessary. Obviously, <u>the more information the program developer has about the problem-- the more appropriate the strategies developed will be</u>.

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7. Desk Activity - Using the Problem Statement to Develop Strategies.

   a. A major source of information in developing strategies is--of course--the Problem Statement, and the analysis that was completed in preparing the Strategic Goal Decision Package.

   b. The components of the problem identified in the Problem Statement are those factors that the program developer may wish to correct, change or eliminate in order to meet the strategic goal. Correcting these components individually would constitute the <u>potential elements</u> of an overall strategy.

      - <u>Example</u>: If the Problem Statement identified low morale, excessive workload, and poor pay as components of the problem of ineffective probation officers, efforts to correct each of these conditions would constitute the elements of an overall strategy that might be labeled "Upgrading personnel policies".

   c. By examining the components of the problem, and grouping those components according to common types or features, the program developers can develop an overall strategy that encompasses each.

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   d. Read the decision package in your Guide relating to the "prosecutor preparation" aspect of the low conviction rate problem.

   e. Identify as many different strategies as possible to address this strategic goal.

      - Remember to remain at a general level--don't start out at the level of specific interventions or elements.
      - Think creatively,--don't be satisfied with the most obvious strategies.

f. Debriefing: In the debriefing:

- Have one or two participants suggest their different strategies
- Ask for comments from the participants about the strategies suggested

g. Explanation of Proposed Answers:

- Potential elements: Considering the fact that prosecutor workloads are believed to be high, one logical element would be to hire more prosecutors to handle the load (Element A). Similarly, if there is a lack of clerical and secretarial support, the logical response would be to hire more (Element B). The turnover problem could be reduced by increasing pay and benefits to provide incentives for people to stay (Element C). If current staff is inexperienced, one answer would be to replace or supplement them with more experienced attorneys (Element D) or provide existing staff with more training (Element E). The obvious remedy for the problem of the judicial time limit rule is to modify the rule to a more reasonable level (Element F). Other potential elements to reduce caseloads are to develop a system to better allocate and spread the work (Element G)

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or reduce the workload directly by being more selective in choosing cases to prosecute (Element H). A second element designed to improve the level of experience among the existing prosecutors would be to pair them with more experienced attorneys who could tutor and guide them (Element I). A second element under the tenure problem would be to require new attorneys to promise a minimum period of employment when they are hired (Element J).

- Possible strategies: The individual elements suggest more general approaches to the problem, i.e., strategies. One strategy would be to merely add to the available resources, suggested by Elements A & B (Strategy 1). A second strategy is suggested by Elements E & I; that is, upgrade existing resources (Strategy 2). A third strategy would be to use available resources more effeciently (Strategy 3), as suggested by Elements G & H. A fourth strategy would be to replace existing resources with people that can do the job better or will perform the job more reliably (Strategy 4), as suggested by Elements D & J. Finally, a strategy could be divised to improve the retention of resources (Strategy 5) or reduce the pressures

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on existing resources imposed by external events (Strategy 6). Note that once you have identified strategies, they, in turn, may suggest new elements. Although they may not be supported by the problem statement, they may prove to be useful and should be saved for further consideration.

h. Debriefing Points: In the debriefing emphasize the following points:

- Strategies should not be made too specific at this point--the program developer should avoid being too "locked-in" to a particular intervention.
- The participants should try to develop as many different options as possible--this is the place to be innovative and creative.
- Although the participants identified several potential elements of the different strategies, the focus should remain on the strategy. The program developer may later choose to expand, revise or delete elements under each strategy.
- Emphasize the importance of information. In this exercise the participants had very little information to work with--recognize that fact.

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End of desk activity

8. Using the Strategic Goal to Identify Strategies

a. The second approach to identifying strategies is working backward from the strategic goal toward the problem.

- Program developers may be forced to use this approach when the problem statement does not clearly spell out what the contributing factors of the problem are, or
- There are no immediately apparent ways of affecting the known contributing factors.
- Example: Police departments often complain about a lack of support from citizens in depressed or declining areas of cities. Among the factors given for this situation is the breakdown in neighborhood cohesion and sense of responsibility for the behavior of neighborhood residents. Many persons believe that if residents could be brought to feel a greater sense of responsibility, the police would receive better cooperation and, possibly, the crime rate would

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go down in these areas. Obviously, factors such as neighborhood sense of responsibility and cohesion are not just problems for the criminal justice system. Moreover, even though a great deal is known about it, it is not clear how to go about attacking this problem.

b. Given a problem about which little is known or a problem with no obvious solution, the program developer may be forced to develop strategies with little specific information.

- This approach is clearly more experimental and thus, much riskier than the approach of using the facts in the Problem Statement.
- If the program developer is completely "in the dark" about a problem or possible solutions--even after a serious effort to search out information about the problem--the program developer should consider the possibility of discarding or revising the strategic goal or, at the very least, clearly advise decision-makers that the solution to the problem is going to be very uncertain.

c. The demands of this approach are the same as those for the deductive approach of using the Problem Statement.

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- As much information as possible should be brought to bear on the process;
- The program developer should attempt to develop as many alternatives as possible, and
- The program developer should focus at the strategy-level and not jump too quickly to specific elements or interventions.

d. One way of identifying possible strategies inductively is to use a "brainstorming" technique involving persons who are knowledgeable about the problem or who have a clear stake in the program being developed.

- The Nominal Group Techniques can be used at this step, just as it was used in the development of problem components.
- The bibliography to the text of this module contains citations of articles that outline other techniques for this step.

e. We will illustrate this process in the form of a walkthrough, using the low conviction rate problem as an example.

Notes and Comments

CONTINUED

2 OF 9

9. Walkthrough - Identifying Alternative Strategies Using the Strategic Goal.

   a. Preparations:

      - Using a flip-chart or blackboard create two columns; one labeled "Potential Elements", the other headed, "Possible Strategies."

   b. The strategic goal we will use is the one relating to increasing the number of witnesses who appear in court to testify.

      - This goal was developed out of the same Problem Statement we discussed earlier.
      - Recall that the Problem Statement did not indicate any specific reasons for witnesses not testifying, but only suggested that it was probably due to practical inconvenience and a "poor attitude" toward the criminal justice system.

   c. In the previous discussion we noted that the program developer should avoid becoming too specific in developing strategies at this point in the process. However, it is obvious that it is very difficult to think about strategy in a general sense without having some very specific elements in mind.

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(20 minutes)

Participants may want to look back in Module III to review the Problem Statement. Show Visuals A,B,C,&D to review the previous steps leading up to this point.

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   - The problem with being too specific too soon is that it tends to block out consideration of other alternatives.
   - Unless you force yourself up to the general level the natural tendency is to become even more specific.

   d. In this exercise we will use the tendency to think at the specific level, but in a way that will help us develop general approaches to the problem.

      - Take a few moments to think about the witness problem and begin listing ideas on how to meet this strategic goal.
      - Be as specific as necessary.
      - Allow the participants to think about the problem for one minute.

   e. Begin listing the ideas of the participants under the "Potential Elements" heading on the flip-chart or blackboard.

      - Try to take suggestions from as many participants as possible.
      - When you have recorded from between 10 and 15 suggestions, or when the participants have suggested elements that could be fitted under 2 or 3 different strategies, stop the process.

f. Have the participants examine the list of potential elements and instruct them to begin collapsing similar elements into more general categories.

- When all of the items have been collapsed into 2 or 3 categories, encourage the participants to develop labels which describe the approach the elements have in common.
- Each of these labeled categories represents a particular strategy for addressing the "witness" strategic goal. These strategies should be written in under the "Strategy" column.

g. Examples of possible and acceptable answers would be:

- Potential elements
  - A. Providing free transportation to witnesses
  - B. Providing baby-sitting services for witnesses with small children
  - C. Provide penalties for persons who fail to testify
  - D. Pay witnesses to testify
  - E. Mount a public campaign to emphasize the importance of testifying when called
  - F. Provide protection for witnesses who are afraid to testify

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  - G. Require employers to provide time off for witnesses who testify
- Possible Strategies
  - Provide conveniences to encourage witnesses to testify (A&B)
  - Provide penalties for those who fail to testify (C)
  - Remove or reduce practical barriers to those who wish to testify (D,F,&G
  - Change public attitudes toward testifying (E)

h. Debriefing: In the debriefing, make the following points:

- This procedure could be carried on for a much longer period to generate several more strategies.
- By examining the strategies developed in the process other elements might be generated which, in turn, might generate additional strategies.
- The process would be helped a great deal if persons familiar with the witness problem were involved, or if more information about the problem were available.

Notes and Comments

- This exercise was intended to demonstrate how it is possible to generate strategies in the absence of specific information. However, whenever possible the identification of strategies should be grounded in specific facts and analysis of the problem.

10. Assessing the Logic of Strategies.

a. Once the program developer has developed a set of possible strategies to meet a particular strategic goal, the next step is to assess these strategies for their inherent logic.

b. The purpose of this assessment is:

- To eliminate strategies which are clearly illogical, and
- To identify potential strengths and weaknesses in the logic of a strategy.

c. By the logic of a strategy we mean the set of assumptions that the program developer makes about how the strategy will eventually lead to the accomplishment of the strategic goal.

- The general format of the logic of a strategy is: "If I do 'X' then 'Y' will be the result."

Notes and Comments

End of desk activity

This discussion is central to the course and to this module. Take your time and be certain the participants understand fully.

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- Examples
  - If twice as many police cars patrol neighborhood "A" between 8 and 12 PM, then the number of street robberies in that neighborhood will decrease.
  - If residents mark their property with their Social Security number, then the number of burglaries will decrease.
  - If juveniles are provided with recreational facilities, then the number of juvenile crimes will go down.

d. The program developer should adopt a critical and analytic attitude toward the logic behind the strategies he or she developed in the previous step.

- Specifically, the program developer should lay out and critically assess each of the assumptions stated or implied in any strategy logic.
- The rationale should include the strategic goal the strategy is intended to meet or contribute to, and the normative goal the program as a whole is attempting to achieve.

e. The first step in assessing the logic of a strategy is to identify all of the assumptions the strategy makes. There may be only one, or many.

- A strategy makes certain assumptions about the problem being addressed; about the way people think or behave; about the effect of certain conditions or events on other conditions or events.
- Example: A strategy to reduce burglaries by marking property assumes that burglars have a hard time disposing of marked property, and thus will avoid taking property that can be identified by the owner.
- Example: A strategy to reduce crime by making sentences harsher assumes that potential criminals will find out about the penalties involved in committing a certain crime, and will weigh the risk in a rational manner.
- Example: A strategy to improve the quality of police reports through more extensive training assumes that after they are trained, police officers will have the time and desire to use the skills they learned.

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This is the notion of a logic "chain". While it is "causal" in its basic design, these "tests" of the logic are where the multiple causality notion can be shown and the probabilistic nature of any intervention can be demonstrated.

f. The second step in assessing the logic of a strategy is to test the reasonableness of each and every assumption made. Among the questions that could be asked about each one are:

- Is there any evidence which supports or contradicts the assumption? In the Problem Statement? In some other source of data?
- How limited or general is the assumption? Is the assumption true only in certain cases? All cases? (Example: How many--or what percentage--of police officers don't know how to write an accurate report?)
- Are there any additional or special conditions necessary for the assumption to work? If so, what conditions? How often do they occur? (Example: A crime prevention campaign assumes that the public is interested in crime--but is this always true?)
- How close in time are the links between the events that are assumed to occur in the strategy? (Example: Is a counseling session with a parole officer likely to have a significant impact on an ex-offender a month later?)
- Are there any other assumptions that could be made about the strategy? (Example: If I put more police in one neighborhood, what will happen to the crime rate in other neighborhoods?)
- How many assumptions are there? The more steps and the more questionable the assumptions in the logic chain, the greater the chance for problems to occur and for the strategy to not work.

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g. At this step in the process the program developer should focus primarily on the logic of the strategy, rather than the practical considerations which might make the strategy more or less feasible.

- At this stage the program developer should assume that a way can be found to carry out the strategy--the issue is not how to carry it out, but whether it makes sense to carry it out.
- Factors such as cost, feasibility, practicality, etc. will be considered later in the process after a decision has been made about the logic of the strategy.

11. Walkthrough - Assessing the Logic of Strategies

a. In the walkthrough we will use the example of the low conviction rate problem and focus on the strategic goal relating to the failure of witnesses to show up to testify.

b. Assume that four strategies were developed to meet this strategic goal:

- To impose penalties on witnesses who fail to appear;
- To provide positive incentives to witnesses to show up for court;

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You may want to write these on a flip-chart. These may or may not have been developed in previous walkthroughs.

- To improve the convenience of testifying to witnesses;
- To increase the public's awareness and understanding of the importance of testifying when called.

c. We will work through the rationale for the first strategy, "Imposing penalties on witnesses who fail to testify."

d. The logic behind this strategy is:

- Some witnesses do not show up to testify because there is no penalty for not testifying;
- If a penalty is attached to not testifying, some people will be afraid of the penalty and will show up when called; (Strategic goal)
- If people show up when called, they will give their evidence in court; and,
- The evidence they give will result in more convictions (Normative goal).

e. The first assumption is that some persons do not testify because there is no penalty involved in not testifying.

- Is this a reasonable assumption? The answer is probably, "yes." The lack of a penalty may not be the only reason why

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This logic is shown in the Participant's Guide

Class discussions of these points would be useful if time permits.

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people do not testify but for some people it may be the deciding factor.	
f. The second assumption is that if a penalty is attached to not testifying, more people will show up when called.	
• Is this a reasonable assumption? The answer here is not simple. First, the people who would be most affected by attaching a penalty to not testifying are those persons who would not testify otherwise. That is, persons who would testify in any circumstances would not care if there were a penalty or not.	
• Second, in order for the penalty to be effective, people would have to know about the penalty and, more important, would have to know that the penalty will be enforced. That is, the penalty would have to be credible to the person.	Note that this point may end up as an element in the strategy - a P.R. campaign of some kind.
• Third, the penalty would have to be strong enough for a person to see that it would be better for them to testify than not to testify. That is, the disadvantage would have to be greater than the advantage of not testifying. For example, if a person would lose $200 a day in	

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salary by going to court and testifying and the penalty for not testifying was a $100 fine, most persons in that situation would probably prefer to pay the fine.	
• As a purely logical assumption--and assuming all of the above conditions can be met--it is reasonable to accept this assumption at this point.	
g. The third assumption is that if people show up when called, they will testify and give their evidence.	
• Is this a reasonable assumption? On its face it would appear that this assumption is valid. However, if a person is coerced into testifying because he or she is afraid of being penalized, how good a witness is that person likely to be? To be sure, a prosecutor can force a witness to give evidence on the stand, but there is a question whether such a witness would be a plus or a minus for the prosecution's case.	
h. The fourth assumption is that if more persons testify, the prosecution will obtain more convictions.	
• Is this a reasonable assumption? The answer could be either yes or no.	

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The premise is that the additional testimony will help the prosecution's case more than it will the defendant's case. This may or may not be true. Moreover, if penalties are assessed for not testifying, the effect would be as beneficial to defense attorneys who have difficulty getting witnesses to court as it would be for prosecutors. Thus, even though the strategy would probably bring additional witnesses to court--and thus meet the strategic goal--it is not entirely clear that this would necessarily result in more convictions, the purpose of the program overall.	
i. The purpose of this assessment is not to eliminate a strategy, but to highlight the inherent strengths and weaknesses of the strategy. In this example, we identified certain weaknesses and limitations in the logic of the strategy and, for that matter, in the strategic goal itself.	
• The completed rationale lays out all of the assumptions about this strategy.	This more complete rationale is also in the Participant's Guide.
• If we later decide to implement this strategy, we will have already identified certain features of the program that would have to be included (e.g., being	

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certain that the penalties are advertised to witnesses; making certain the penalties are credible).	
12. Desk Activity - Assessing the Logic of Strategies	
a. In this desk activity the participants will be given a chance to assess the logic of a second strategy under the "witness" strategic goal. The strategy to be assessed is the one relating to "Providing additional conveniences to witnesses."	Refer to your flip-chart list of strategies.
b. The activity will be carried out in three steps:	
• Step 1. The participants will identify the assumptions behind the strategy.	
• Step 2. The participants will assess the logic of the strategy by testing the reasonableness of each of the assumptions.	
• Step 3. A rationale of the strategy will be developed, based on the testing of the assumptions.	
c. Step 1. Have the participants work independently at their seats for 10 minutes, identifying the assumptions behind the strategy of providing conveniences to witnesses.	Refer them to the worksheets in their Participant Guides

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- If participants are unclear about what is meant by "conveniences", suggest a few as examples (e.g. travel to court, babysitting services).
- Advise the participants not to be overly concerned about what the specific conveniences would be, but to focus on the overall logic of this strategy. Remind them that the specific type of penalty was not considered in the walkthrough.
- Also advise the participants to not be overly concerned about purely practical considerations (e.g., it would cost too much; no one will support it, etc.).

d. After ten minutes have elapsed, ask the participants to stop, and have one of the participants volunteer to present his work to the group.
   - The participant should present the assumptions by writing them on the flip-chart or blackboard, and explaining each.
   - After the presentation, ask the participant to sit down and ask the group to offer suggestions on where the assumptions could be revised or expanded.
   - Allow about ten minutes for this discussion.

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e. Step 2. Encourage a discussion of the reasonableness of the assumptions, using the questions discussed in the lecture and listed on the second page of the worksheets in the Student Guide for this Desk Activity.
   - Record any suggestions as to the strengths and weaknesses of the assumptions in the strategy logic on a flip-chart.
   - Allow the discussion to last for no more than 20 minutes.

f. In the discussion, reinforce and emphasize the following point:
   - In assessing the logic of the strategy, do not focus on the specific elements of the strategy (e.g., how will we provide transportation to the witnesses), but focus on the assumptions about the strategy as a general approach.

g. Step 3. The participants should work independently at their desks and construct a complete rationale of the strategy. This rationale should incorporate the insights into the strategy identified in the assessment of the assumptions.
   - The participants should refer back to the completed rationale developed in the

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walkthrough as a guide to its format and contents.

- Allow about ten minutes for this step.

h. At the end of ten minutes, ask the group to stop and request one of the participants to volunteer to present a rationale.

- The rationale should be presented on the blackboard or flip-chart.
- After the presentation, lead a brief discussion of the completed rationale.

i. Debriefing: In the concluding discussion, the following points should be emphasized:

- The purpose of testing the logic of a strategy is to determine whether or not the strategy makes sense to implement--not to determine how easy or expensive it would be.
- By testing the logic of the strategy the program developer identifies the logical strengths and weaknesses of the strategy--things that the program developer needs to know when designing the strategy.
- By identifying the weaknesses or possible weaknesses in the strategy the program developer identifies areas where greater attention and effort should be placed if the strategy is going to work.
- By identifying the strengths and weaknesses of a strategy the program developer is in a better position to make honest estimates of how a strategy will work--to himself and to decision-makers.

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j. Discussion points for the Analysis of Assumptions.

- Witnesses do not testify in court because of a lack of conveniences. This assumption is probably true for some but not all persons who fail to testify. It may be useful to further distinguish between those conveniences that merely make testifying more attractive and those which overcome real practical barriers such as lack of transportation or a babysitter for young children. The latter are more likely to affect the probability of persons testifying than how comfortable the waiting rooms are or whether court personnel are courteous. In general, this appears to be a reasonable assumption.
- If more conveniences are provided more witnesses will show up in court to testify. (Strategic Goal). This assumption contains several conditions: witnesses would have to know about the conveniences; they would have to know how to utilize the conveniences; they would have to see the conveniences as being valuable to them and, the value would have to be greater than the relative inconvenience of testifying. In addition lack of convenience would have to be the

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single factor which determines whether or not the person will choose to testify, i.e., there should not be any other compelling factors influencing them not to testify. Within these limitations the assumption appears to be valid.

- If witnesses show up in court they will give evidence favorable to the prosecution. As in the analysis of the strategy in the walkthrough, this is not an entirely valid assumption. Unless the conveniences are made available only to prosecution witnesses, which may not be feasible or ethical, the conveniences would benefit the defense as much as the prosecution. Further, even assuming that more prosecution witnesses will show up than defense witnesses, it is not assured that their testimony will automatically favor the prosecution's case. This would depend on a variety of factors: what the witnesses have to say, how well they say it, and how important the testimony is to the prosecutor's case. Thus, this assumption while not completely invalid, is of dubious or very limited reasonableness unless other conditions prevail.

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- If witnesses give evidence favorable to the prosecution more defendents will be convicted (Normative Goal). Within the above limitations this seems logical and valid.

13. The Importance of Integrating Strategies.

a. To this point we have been concerned primarily with the development and assessment of individual strategies under specific strategic goals. Once the different individual strategies have been developed and assessed, it is necessary to stand back and review all of the strategies from the perspective of the overall program.

- Remind the participants that in an actual program development effort, strategies would be developed for all of the strategic goals and individual assessments carried out for several dozen possible strategies.

b. In the previous step in which potential strategic goals were developed, the program developer should have attempted to integrate the strategic goals so that they

- Addressed all of the important components of the problem, and
- Tended to reinforce each other; did not contradict or work at cross-purposes with each other.

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c. At this point the same assessment should be made with respect to the different strategies developed to meet the strategic goals.

- Just as different goals can conflict with each other, so too, different strategies can be incompatible.
- Example: In a program to assist victims and witnesses of crimes, a major conflict often arises between those elements of the program intended to provide direct services to victims (crisis counseling, help with insurance forms, reimbursement) and those elements intended to improve the efficiency of the prosecutor and police.

d. In addition, programs often adopt multiple strategies to meet a particular strategic goal and consideration must be given to the coordination of the strategies.

- The program developer should attempt to assess how different strategies could or should work together to meet the strategic goals of the program.
- Example: In the examples used in the previous discussion it is likely that

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the program developer would select the strategy of improving the prosecutors' efficiency and the strategy of providing conveniences to witnesses as ways of increasing the conviction rate.

e. When the program developer determines that several strategies are incompatible or that certain strategies should be designed to work together, the program developer has an obligation to advise decision-makers of that fact.

- This may mean that certain strategies should be presented as a "set" rather than as individual or alternative selections.

14. Preparing the Alternative Strategy Decision Package.

a. The selection of one or more strategies to meet the strategic goals of the program is a major decision point in the program development process.

b. In this discussion we will describe how the different products developed in this module should be put together into an updated decision package.

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c. The decision package should consist of the following items, from the earlier strategic goal decision package:

- The normative goal statement
- A listing of all strategic goals selected for further development at the earlier decision point
- Abstracts of those portions of the Problem Statement relating to the strategic goals
- A listing of the most important components of the problem derived from the Problem Statement relating to each of the strategic goals

d. The new materials to be included in the decision package are:

- A statement of one or two sentences describing each potential strategy proposed to meet each strategic goal.
- A listing of potential elements to carry out each strategy
- The rationale of each strategy
- An assessment of the strengths and weaknesses of each proposed strategy.

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This is a continuation of the Decision Package shown in Module III

e. An example of the different parts of the decision package is in your Student Guide.

- In the exercise that follows the final product will be a presentation following the format of this decision package.

15. Summary and Review.

a. In this module we moved beyond the problem and began considering the strategies we would or could adopt to meet the strategic goals of the program.

b. Building on the understanding we developed earlier we discussed:

- The role of the program developer in the development of strategies;
- Collecting and assessing information on different courses of action;
- The importance of developing alternative strategies;
- The definition and meaning of the term "strategy";
- The two approaches to identifying strategies-- using the Problem Statement and using the Strategic Goal;
- Assessing the logic of different strategies;

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- The importance of integrating strategies;
- The development of the strategy selection decision package.

c. In the next module we will begin to develop in more detail the strategies that were identified, assessed and developed in this step.

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Module IV

Developing the Logic of Different Strategies

Segment B: Workshop on Developing and Assessing Strategies - Introduction

LECTURE GUIDE

1. Introduction to the Workshop.

   a. In this workshop you will be given an opportunity to apply the techniques and concepts discussed in the lecture.

   b. For this workshop you will work in the same small groups as you did in the previous workshop.

   c. Each group will be responsible for developing and assessing two strategies to meet one of the strategic goals we selected at the end of the previous workshop.

      - Each group will be assigned a different strategic goal
      - If possible, each group will be assigned a goal it developed in the earlier workshop.

   d. In this workshop you will need to take with you:

      - Your Student Guide
      - The Problem Statement
      - The decision package material developed in the previous workshop

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2. Note on Strategy Development

   a. Keep in mind the issues discussed in the lecture relating to the level of the strategy.

      - Do not become too specific at this point, but focus on the general approach to the strategic goal.

   b. Also remember that you will be asked to work with the materials you develop in the workshop for the remainder of the week.

   c. At the end of the workshop you will select a set of integrated strategies that will form the basis for the workshops during the remainder of the week.

3. Assignment of Strategic Goals to the Groups.

   a. Each group should be assigned a strategic goal from among the three/four selected in Module III.

   b. When possible, assign goals to the groups that were originally developed by them.

4. You may now leave for your breakout areas.

   - Your facilitator will give you specific instructions on how you are to proceed.

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Module IV
Developing the Logic of Different Strategies

Segment B: Workshop on Developing and Assessing Strategies

FACILITATORS GUIDE

1. Preliminary Preparations.

   a. Each member of the group should have:

      - A copy of the Student Guide, and
      - The Arson Problem Statement

   b. The group should also have available the materials developed for the presentation of strategic goals in the previous workshop:

      - During the initial step of the workshop, the group will utilize the information developed for the strategic goal they were assigned
      - This material should include: the normative goal statement, the strategic goal statement, the citations in the Problem Statement related to the goal, and the components of the problem derived from the Problem Statement.

   c. The workshop breakout area should also be equipped with a blackboard or flip-chart, and a roll of tape.

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2. Workshop Purpose and Process.

   a. The purpose of the workshop is to give the participants an opportunity to practice some of the concepts discussed in the lecture:

      - Identifying potential strategies
      - Identifying and assessing the assumptions behind strategies
      - Developing rationales of strategies
      - Preparing a strategy selection decision package

   b. The workshop will be carried out in six steps:

      - Step 1. The participants will identify possible strategies using the problem statement, and making use of the decision package materials developed in the previous workshop. (Time allowed: 30 minutes)
      - Step 2. The participants will identify additional possible strategies using the strategic goal as described and practised in the lecture. (Time allowed: 30 minutes)

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      - Step 3. The participants will select two of the strategies identified in the previous steps and identify the assumptions behind each. (Time allowed: 30 minutes)
      - Step 4. The participants will assess each of the assumptions in the two strategies, using the questions suggested in the lecture. (Time allowed: 60 minutes)
      - Step 5. The participants will develop a rationale for both strategies following the format discussed in the lecture. (Time allowed: 30 minutes)
      - Step 6. The participants will prepare a presentation following the format for the strategy selection decision package as described in the lecture. (Time allowed: 30 minutes)
      - The total time allowed for these six steps is 3 hours and 30 minutes.

3. Step 1. Identifying Strategies Using the Problem Statement. (30 minutes)

   a. The participants should review the materials they developed in preparing for the presentation of the strategic goal they were assigned. In particular, they should review:

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- The relevant portions of the Problem Statement they cited in the presentation, and
- The list of problem components they identified out of the Problem Statement.

b. Divide the blackboard or flipchart into two columns: the left-hand column should be labeled Potential Elements, and the right-hand column should be labeled Possible Strategies.

- The strategic goal statement the group is to meet should be written over the top of the two columns.

c. After reviewing the components of the problem, the participants should begin listing potential elements under the appropriate column, based on those components.

d. After potential elements have been listed, the participants should then identify overall strategies that would encompass them.

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- Elements should be stated in the form of a short description of the action to be taken with respect to a particular component.
- Example: "Reduce the workload of arson investigators."

4. Step 2. Identifying Strategies Using the Strategic Goal. (30 minutes)

a. If room is still available on the blackboard or flipchart, the participants may use the same work area to develop additional strategies out if the strategic goal.

Remind them that this approach is in general, less desirable than the approach of using the Problem Statement.

b. Give the participants a few moments to examine the potential elements and possible strategies, and then begin soliciting suggestions for additional elements.

- Additional elements should be listed under the appropriate column.
- If the same work area is used, indicate which strategies and elements were developed under each approach by drawing a line between the two groups.

c. As they did in the previous step, the participants should group elements into strategies.

5. Step 3. Identifying the Assumptions in the Strategies. (30 minutes)

a. The participants should select two of the possible strategies for further assessment.

- The group may select any two of the strategies. However, the two strategies should reflect relatively different approaches to meeting the strategic goal.
- The group may use any method they choose to select the two strategies--show of hands, formal vote, group consensus, etc.

b. After the two strategies have been selected, the group should identify the assumptions behind both of the strategies.

- One member of the group should record the assumptions identified on the flipchart or blackboard.
- The group may choose to complete this step and the next step for one of the strategies and then repeat the process for the other strategy, rather than the process suggested here.

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Note to the group that this is an arbitrary number for purposes of simplifying the task. In a real planning session they would assess all strategies and then make a selection.

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6. Step 4. Assessing the Strategies. (60 minutes)

a. After the assumptions behind the strategies have been identified, the group should assess each, using the questions discussed in the lecture and used in the desk activity.

- A copy of the list of questions is in the Student Guide.

b. As the participants identify weaknesses or strengths in the strategies, they should be noted and recorded for use during the presentation.

- The facilitator should encourage discussion and participation.
- The facilitator should also encourage the participants to go back to the Problem Statement to support or refute the assumptions made in the strategies.
- Remind the group that they will be expected to justify the strategies they propose to the group.

7. Step 5. Preparing the Strategy Rationale. (30 minutes)

a. Based on the assessment of the logic of the two strategies, the participants should develop a rationale for both.

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- The rationale should follow the format presented in the lecture and developed during the desk activity.
- A model of a rationale is shown in the Student Guide.
- The participants may choose to divide themselves into two groups to work on the two rationales independently.

b. The two rationales should be precise and complete and should reflect the insights developed during the assessment of the assumptions.

8. Preparing the Presentation. (30 minutes)

a. The participants should review the contents of the strategy selection decision package. The format of the package should be followed in the presentation to the group.

b. The contents of the decision package are:

- The normative goal statement
- The strategic goal statement
- The relevant portions of the Problem Statement
- The important components of the problem derived from the Problem Statement
- A listing of potential elements under each strategy
- A set of strategy rationales
- An assessment of the strengths and weaknesses of each strategy.

c. In the presentation, the participants may draw on the material already developed in the previous exercise. However, because they are now focusing on only one strategic goal, they should be more explicit about the relevance of the strategy to the Problem Statement--particularly when discussing the components of the problem and the associated potential elements.

d. The presentation should follow the order described below:

(1) The normative goal should be briefly restated

(2) The strategic goal the group was assigned should be identified

(3) The portions of the Problem Statement relevant to the strategic goal should be cited

(4) A brief description of the components of the problem drawn from the Problem Statement should be made

(5) The entire list of strategies developed in the workshop should be presented and the two strategies developed further should be identified

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The facilitator may want his group to identify the approach used for each strategy.

(6) The rationale for the first strategy should be presented and explained

(7) Potential elements under the first strategy should be presented and briefly described

(8) The apparent strengths and weaknesses of the first strategy should be explained

(9) Steps 6, 7 and 8 should be repeated for the second strategy.

e. The group should select the person(s) who will make the presentation.

- The group will have 15 minutes to make its presentation
- This step concludes the workshop.

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See Facilitator's Note

Facilitator's Note

The Facilitator should make two additional copies of the:

- Strategy Rationale and
- The List of Assumptions for the strategy assigned to the group. These materials will be needed later in the Workshop in Module VI.

Notes and Comments

Module IV

Developing the Logic of Different Strategies

Segment B: Workshop on Developing and Assessing Strategies - Debriefing

LECTURE GUIDE

1. Presentation by the groups (45-50 minutes)
   a. After the small groups have returned to the main lecture area, each should make its presentation to the main group.
      - Each group is allowed 15 minutes for its presentation of both strategies.
   b. The participants should be encouraged to take notes on each presentation to facilitate the subsequent selection and integration of strategies.
      - The participants should pay particular attention to possible conflicts, incompatibilities, or areas of overlap among the strategies.
2. Selection of a Set of Integrated Strategies (30 minutes)
   a. After the last presentation has been given, the participants should discuss the strategies as a whole with particular attention to:

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   - The adequacy of the strategies in relation to the strategic goal and the normative goal
   - Areas of possible conflict among the strategies
   - Areas of possible overlap among the strategies, and
   - Strategies that should or should not be implemented together
   - Possible areas where the strategies might require coordination

   b. After a 10 to 15 minute discussion on these issues, the participants should reach an agreement on a set of strategies to be pursued further--one strategy for each of the strategic goals.

3. Examples of Possible and Acceptable Products.
   a. Step 1: Identifying Strategies Using the Problem Statement.
      - For purposes of this example the strategic goal will be: To reduce the number of arson fires set by juveniles.
      - Relevent problem components under this strategic goal would be:
        - Disposition of juvenile arson cases by the police (p.12)
        - Disposition of juvenile arson cases by the courts (pp. 12&13)

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- Adolescent thrill seeking (p.23)
- Ignorance of consequences of arson (p.23)
- Pre-adolescent facination with fire (p.23)
- Juvenile gangs (in Central City) (p.23)
- Psychological disorders (pp. 23&24)
- Relationship of psychological disorder and vandalism arson (p.24)

● Potential elements under the strategic goal suggested by the Problem Statement include:

- Modifying the way police dispose of juvenile arson cases (over 40 percent are released with no further action) (A)
- Provide alternative sources of outlet for adolescent thrill-seeking begavior (C)
- Educate juveniles concerning the consequences of arson (D)
- Treat and/or educate pre-adolescents with an inordinate facination with fire (E)
- Identify and address juvenile gangs involved in fire-starting (F)
- Identify and treat juveniles with psychological disorders which could lead to fire-setting behavior (G)
- More closely screen vandalism arson cases for possible psychological motivation (H)

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● Possible strategies derived from potential elements:

- Improve the disposition of juveniles identified as fire-setters (A,B,E,F,G,H)
- Educate juveniles on arson prevention and the consequences of arson (D,E)
- Provide alternatives to fire-setting behavior for juveniles (C)

b. Step 2: Identifying Strategies Using the Strategic Goal.

● The answers derived in this step may vary with the imagination and experience of the group. Possible innovative elements might include:

- Educating parents on the dangers and realities of juvenile arson (I)
- Co-opt juvenile gangs by recruiting them into arson-prevention groups (J)
- Educating parents and teachers to identify behavioral or psychological problems that might lead to fire-setting (K)
- Establish arson-counseling programs for juveniles caught for arson (L)
- Encourage police and courts to divert juveniles arrested for arson to mental health programs (M)

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- Develop neighborhood clean-up campaigns to both remove the opportunities of arson and improve general fire safety (N)

- Possible strategies identified from these elements might include:
  - Remove potential targets or opportunities of juvenile arson (N)
  - Provide greater community and institutional awareness of juvenile arson (I,K)
- The remaining elements would tend to fall under one or another of the strategies developed earlier.

c. Step 3: Identifying the Assumptions in the Strategies.

- For purposes of this example we will assess the strategy: Educate juveniles on arson prevention and the consequences of arson.
- The assumptions of this strategy are:
  (1) Juveniles engage in arson because they are ignorant of the consequences of arson and are not familiar with arson prevention.
  (2) If juveniles were informed about arson they would not set fires. (Strategic Goal)

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(3) If juveniled do not set fires the number of arsons will decrease (Normative Goal)

d. Step 4: Assessing the Strategies.

- Assumption 1: Juveniles engage in arson because they are ignorant of the consequences of arson and of arson prevention. (Is this assumption reasonable?)
  - The Problem Statement indicates that ignorance of the consequences of their actions is associated with vandalism arson. Thus, there is evidence supporting this assumption.
  - There is no evidence in the Problem Statement that knowledge of arson prevention is a factor in the incidence of juvenile arson, although this knowledge per se may affect behavior and attitudes. One might look to the existing literature on arson for back up on this one.
- Assumption 2: If juveniles are informed about arson they will not set arson fires.
  - While the Problem Statement states that an association exists between knowledge of consequences and fire-setting behavior it does not suggest that this ignorance causes the behavior. However, it could be reasoned that if juveniles know about the consequences

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of arson they might be deterred from setting fires

- There are several limitations associated with this assumption. Some, but not all juveniles will be deterred by knowledge of the consequences of arson; merely informing juveniles is not enough--they must understand, accept, internalize, and remember the information; the information must be given to juveniles who would otherwise engage in fire-setting behavior.

● Assumption 3: If juveniles do not set fires the number of arson fires will decline.

- This assumption is self-evidently true. Moreover, because juveniles make up the largest number of known arsonists any significant decline in juvenile arson would alaso have a significant impact on the overall arson problem.

d. Step 5: Preparing the Strategy Rationale.

● The sequence below depicts the logic of the strategy.

- Juveniles engage in arson because they are ignorant of the consequences of these activities.

↓ ↓

- Juveniles who could otherwise set fires are informed about the consequences of arson.

↓ ↓

- Juveniles understand the information provided.

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↓ ↓

- Juveniles accept the information provided.

↓ ↓

- Juveniles internalize and remember the information provided.

↓ ↓

- Juveniles (some) are deterred from setting fires. (Strategic Goal)

↓ ↓

- The overall number of arson fires will decline. (Normative Goal)

4. Debriefing. (Not more than 10 minutes)

a. In the debriefing, the following points should be made:

● Possible strategies are developed out of an understanding of the problem derived from the Problem Statement and from a creative consideration of possibilities suggested by the strategic goal

● The value of a strategy lies in the strength of its logic and the best way to assure that a strategy is worth pursuing is to focus on the relative validity of the assumptions implied in the strategy itself

● The program developer needs to develop a critical and analytic attitude toward the strategies he/she developes or proposes

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- Weaknesses identified in the logic of a strategy do not necessarily eliminate the strategy from further consideration--but identify certain areas of the strategy that will require particular attention when they are further developed (cross reference to debriefing of desk activities). (This point relates to the notion of key events introduced in module VI).

Module 5

PLANNING THE PROGRAM STRATEGIES

Module V
Planning the Details of Program Strategies
Segment A

INSTRUCTORS NOTES

Notes and Comments

1. Review and Introduction.

   a. In Module I we indicated the three reasons why programs fail:

      - The problem was not understood
      - The solution to the problem was inappropriate, or
      - The solution was implemented incorrectly.

   Visual I-C

   b. In Module II we attempted to remedy the first potential problem by conducting a detailed examination of the problem through an assessment of the Problem Statement.

   c. In Modules III and IV we attempted to remedy the second potential problem by first, identifying the most important components of the problem toward which the strategic goals of the program should be aimed; and second, by developing and carefully assessing logical strategies for meeting those goals.

   d. In this module we will begin to address the third potential problem - the problem of <u>implementation</u>.

   e. In this module we will consider all of the practical problems relating to implementing a program in the real world - problems such as:

      - Resources
      - Scheduling
      - Budgets

- Procedures, and
- Political support

f. In this module we will cover the following topics:

- The role of the program developer in planning the details of strategies
- Developing and assessing the elements of a strategy
- Planning the details of the elements of a strategy
- Identifying and assessing the impact of the program on the existing system
- Identifying and assessing the internal impact of program elements on each other
- Scheduling and networking the program elements
- Developing objectives
- Developing program resources and budgets, and
- Preparing the full decision package

g. In this segment of the module we will cover the first three topics - through the design of the details of elements.

- This will be followed by a major workshop related to these topics

h. In the following lecture segment we will complete the discussion of the five final topics - through the preparation of the full decision package.

- This lecture will be followed by a second major workshop.

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2. The Role of the Program Developer in Planning the Details of Strategies.

a. The design and approval of the program's implementation plan is the next major <u>decision point</u> in the program development process. As in previous modules the course takes the perspective that the program developer <u>may</u> be required to present his or her work to a higher authority for approval. Consequently, the final product of this module is yet another <u>decision package</u> for possible review.

- As before, the decision package will be made up of materials developed previously as well as new materials which expand on or elaborate the previous work.

b. In this module, however, the materials developed for the decision package have a <u>second function</u>. These materials will also be used by persons who will actually carry out the program as the <u>implementation plan</u>.

- The materials in the decision package will necessarily be less specific than the materials to be used by the actual implementors.

c. In addition, the materials developed in this module will form the basis for one additional step in the program development process - the development of the program's <u>evaluation and management plan</u>.

- This topic will be covered in the next and concluding module.

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As discribed earlier, this Decision Package is an interim one. It may be revised after Module VI.

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d. Before discussing the planning of the details of strategies, there is an additional topic to be clarified - the level of detail to be developed in the implementation plan.

- In previous modules we have deliberately attempted to remain at a high level of abstraction when developing the strategic goals and the strategies.
- In this module we will be moving down to a relatively low level of detail - down to the level of specific activities within program elements.

e. In this course we assume that the program developer should be able to design a program down to this level of detail even though he or she may never be able to do so on the job.

- Larger planning agencies may leave much of the design of programs to the persons who will actually implement the activities. However, the ideas and guidelines in this module are needed to <u>assess</u> the design work done by others.
- Smaller planning agencies may be asked to design the entire program even below the level of detail described here.

f. As a general rule, program developers should be prepared to develop the details of the program down to a level where they are <u>confident that the goals and strategies of the program can and will be successfully implemented</u>.

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3. Developing and Assessing the Elements of a Strategy

a. In the previous step in the program development process we identified several <u>potential elements</u> to implement each strategy.

- <u>Review</u>: An <u>element</u> is a specific activity or set of activities intended to carry out a particular strategy. An element could be a <u>project</u> or a set of projects performing the same function. An element could also be a <u>single activity</u> carried out only once.
- <u>Example</u>: A strategy to increase the level of experience of prosecutors in an agency might consist of <u>elements</u> such as:
  - hiring older and more experienced attorneys as prosecutors
  - rewarding existing staff in some way to encourage them to remain in the agency
  - using more experienced prosecutors to provide on-the-job training to newer prosecutors.

b. In the previous step, we identified potential elements as a way of developing a range of possible strategies.

- We were not intent on identifying <u>all</u> potential elements under a particular strategy - only those elements which might suggest some additional overall approach to meeting the strategic goal.

c. At this point we assume that a set of strategies has been selected (by the program developer

or by some other decision-maker). Our task now is to expand the list of potential elements under the strategies that have been selected.

- It is important that the program developer has a range of potential elements to choose from, just as it was important to have a range of possible strategies.
- The broader the range of options available to the program developer the more likely he or she is to find the elements that will best fit the particular circumstances and opportunities in the jurisdiction.
- The broader the range of options considered by the program developer, the easier it will be to define the choices made to decision-makers.
- The broader the range of options, the easier it will be for the program developer to develop "fall-back" positions should one element encounter opposition or prove ineffective.

d. The technique to be used to expand the list of potential elements is essentially the same technique used to identify strategies.

- The program developer should review the Problem Statement to determine whether certain elements are suggested or implied.
- The program developer should collect and assess information from other sources; par-

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Instructor Note

When identifying additional alternative elements, remind the participants to look back to the assessment of the strengths and weaknesses of the strategy developed in Module IV. As we emphasized in that earlier discussion, the areas of weakness in the strategy may need to be "shored-up" or given particular attention in designing the program. As we indicated, this may include designing a specific element to overcome a particular weakness. For example, if the assessment showed that it was questionable whether the public was really interested in reducing the availablility of handguns, one logical element to be included under the strategy would be a public education campaign.

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ticularly local sources such as persons in agencies who might be involved in implementing one or more elements of the strategies.

- The program developer could conduct a Nominal Group Technique with knowledgeable decision-makers, experts or other persons with a stake in the process.

e. The purpose of this search for additional elements is to develop a broad range of options from which to choose those elements that best meet the programs' needs, opportunities, and limitations.

- We will now turn to a consideration of how the program developer should go about assessing the relative value of the different elements he or she has developed.

4. Criteria for Assessing Strategic Elements

a. Once it is clear that a set of potential elements are available for each general strategy, the program developer has sufficient information to make more fine-grained assessment of those elements.

b. The program developer wants to determine which elements are likely to work best, given what is known about the conditions of the jurisdiction, the political structure, what seems to have been done elsewhere, and the knowledge and expertise of professionals.

c. Each element can be assessed against five criteria.

- Effectiveness
- Practicality
- Acceptability
- Evaluability
- Cost

d. The information needed to apply these criteria can come from a variety of sources.
   - Data and information in the problem statement
   - Your own professional judgment and experience
   - Information obtained from reviewing research and evaluation studies, and reports of efforts undertaken elsewhere
   - The knowledge and expertise gleaned from other professionals
   - Knowledge of the local situation -- the political structure, voting records, prevailing public attitudes.

e. Effectiveness asks "how well will it work?"
   - This criterion is first among all criteria -- if something does not work it makes little difference how it ranks on other criteria.
   - This criterion is concerned with predicting how each element will contribute to attaining the strategic goal.
   - Good sources of information for rating elements on this criterion are evaluations of similar efforts done elsewhere or detailed reports of other program operations.

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- Example: If evaluation studies show, for example, that providing transportation services to witnesses generally result in positive effects on witness cooperation, the element would be rated high on this criterion.
- A second source of information is the Problem Statement -- particularly hard data on the relative impact of different components of a problem.
- Example: If the Problem Statement indicates that 30 percent of the witnesses who fail to show up to testify did so because they lacked transportation to the courthouse, the program developer could infer that providing transportation might improve the "no-show" rate by up to 30 percent.
- Information in the problem statement can also be used to compare elements on the effectiveness criteria.
- Example: If the Problem Statement indicates that 30 percent of the "no-shows" were prevented from testifying because of transportation problems, and 45 percent were hindered by employers who did not want to allow the witnesses time off from work, the program developer could infer that -- given a choice between the two elements -- an element dealing with employers' objections might be more

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effective than one dealing with transportation problems.

f. Practicability asks "can it be done -- and how easily?"

- There are several dimensions to this criterion
  - Are the resources for one element already available, or are they more available than for another element?
  - Is the element legal?
  - Has there been any practical experience with this particular element -- has there been any prior experience with it in the jurisdiction or elsewhere?
- This criterion implies a "common sense" factor of what can or cannot be done.
- Often, ratings on this criterion are based on the program developers' own experience and knowledge about the jurisdiction.
- Practicability will vary by jurisdiction or local circumstances. Providing transportation to witnesses may be practical in a large city where persons live relatively close together and transportation resources are usually available already (e.g., public transit, taxi cabs, etc.). However, in a small town or a sparsely settled rural area the element might require developing transportation resources "from scratch."

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g. Acceptability asks, "is the element agreeable to the public and political powers?"

- Rating on this criterion depends upon the prevailing public attitudes and political priorities.
  - these are never precise
  - these shift from time to time
- Information for rating on this dimension comes from the program developers' sensitivity to political facts, their knowledge of the power structure and awareness of what's going on in the jurisdiction.
- Example: If, for example, there was strong opposition from taxpayers for spending public money on transporting people who have a civic obligation to testify in court, then "providing transportation" would get a lower rating on this criterion.

h. Evaluability asks, "can the contribution of the proposed element to results or outcomes be found?"

- In theory any element could be evaluated if enough time, money, and effort is devoted to it. The focus here is on the relative evaluability of the element.
- This criterion focuses on the relative ability to monitor and evaluate elements in terms of their performance.
- An element is evaluable if objective indicators and measures can be identified.

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- Example: The number of court cases thrown out because of lack of witnesses (indicator) as determined by the number of "no-shows" who stated they did not go to court because of no transportation (the measure).
- Information for rating on this criterion could come from evaluations of similar or related programs elsewhere, knowledge of research, measurement and evaluation, and from evaluation staff.
- In the next module we will focus more closely on the evaluation of programs. However, consideration of evaluation issues should begin early in the design of the program.

i. Cost asks, "how expensive is it?"

- The application of this criterion at this stage is to estimate the relative costs of the different elements.
- Some elements will be inherently more costly than others. However, the program developer should consider long-term and short-term costs when assessing elements on this criteria.
- Example: It might cost more money in the short-run to remodel the courthouse to make witnesses more comfortable than to set up a transportation reimbursement element to get witnesses to the courthouse. However, the latter element would be a long-term expense whereas the remodeling would be a one-time-only cost.
- Other more complex and sophisticated cost-benefit and cost-effectiveness analyses techniques could be used to assess elements under this criterion. These techniques require detailed information about specific resources to be applied and specific projections of each element's expected performance. They may not be appropriate at the stage of program development we are discussing here.

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5. Applying the Criteria for Assessing Strategic Elements

a. Applying the criteria discussed here to specific elements would, of course, depend heavily on two factors:

- The amount and quality of information available to the program developer related to each of the criteria.
- Local conditions and circumstances relating to the criteria.

b. Obviously, if the program developer does not have information related to the criteria, any assessment would be largely a matter of subjective preferences or professional insight.

c. Equally obvious, local conditions will determine how much weight will be assigned to each criterion.

- In a jursidiction already short on money, "cost" would be weighted much higher than any other criteria.

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- In a highly politicized jurisdiction, "acceptability" might be the most important criterion for an element.

d. The specific method used to apply the criteria could also vary.
   - Each element could be rated separately on each criteria to produce an overall score or some qualitative summary rating.
   - All elements could be ranked on each criteria so that element "A" is ranked first among all elements on effectiveness, fourth on practicability, second on acceptability, etc.

e. Any meaningful rating system would have to be based on information available only if you studied the problem area or were already a substantive expert in it.
   - We cannot provide the detailed information in a training course to permit "real" ratings of alternatives against criteria.
   - Any number of quantitative scaling techniques could be used to rate different options.

f. Question to the Participants: Ask the participants to describe how they might apply the criteria just discussed in their jurisdictions. Which of the criteria would be the most important?

Class discussion

6. Developing the Detail of Program Elements

a. Once the set of elements under each strategy has been assessed and those that appear to be the most effective, feasible, practical, etc., have been identified, the next step in the program development process is to work out the details of those elements.
   - We are now ready to specify the activities that must be undertaken in order to implement the elements, and
   - To specify the resources and people who will perform the actions.

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b. The technique we will use to develop and organize the details of the elements is called the Method of Rationales (MOR).
   - The MOR is a device which breaks down and categorizes the different parts of a program, project or activity in such a way that they can be assessed or analyzed.
   - The MOR is a flexible device which can also be used to evaluate, monitor or manage a program project or activity.
   - Some of you may already be familiar with the MOR as it was taught in the Evaluation Course.
   - In this course we will be using the MOR as a tool to help design the elements of a program, rather than as a tool to evaluate a program that is already underway.
   - Because we are using the MOR in a different way in this course, some of the terms that may appear familiar to some of you may be treated in a slightly different way.

See Instructor's Note

c. The MOR divides the parts of a program element into four categories.

Instructor's Note

We are advocating the Method of Rationales (MOR) as the means for describing how each element we selected might be implemented. Because some of the participants may have gone through the Evaluation or Monitoring Courses, you should mention that the MOR is used in those courses. Some background on the MOR may be useful.

For evaluators, the MOR is used to distinguish what projects are and what they are expected to achieve. By applying the MOR an evaluator can bare the logic of a project and describe the cause-effect linkages, often implied by the project but rarely made clear. Very frequently, criminal justice projects are meticulous in stating objectives and goals (sometimes even measurable ones) but how they are to be achieved is not described or ambiguous. That is, the reasons why the project should be effective are unclear. With the MOR, evaluators can "reconstruct" the project's rationale and ferret out the important cause-effect linkages to evaluate.

The reason the MOR is taught in this course is simple: The underlying reasons for how and why elements are expected to lead to strategic goals should be systematically planned and justified while the program is being developed. The MOR is a convenient way for doing this. If this were done more often during program development there would be less need for evaluators to have to concern themselves with the MOR.

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Visual V-A

- The categories are called: inputs, activities, results, and outcomes.
- The categories are presumed to be causally linked
  - inputs are presumed to "cause" activities,
  - activities are presumed to "produce" results
  - results are presumed to "contribute" to the attainment of desired outcomes

d. The first category: Inputs are the people and things required to make the element work.

- Some inputs will already exist and can be "used" as is (e.g., police cars, facilities, trained counselors).
- Other inputs will exist but have to be modified or restructured for implementing a strategy.
- Still other inputs are "New" and will have to be acquired.
- Examples of inputs

  Personnel:
  - Police officers, correctional staff, court administrators, laboratory assistants, data technicians, etc.

  Facilities:
  - Jails, half-way houses, prisons, police facilities, court rooms, laboratories, data analysis center, etc.

  Equipment and Hardware:
  - Computers, data bases, patrol cars, riot

gear, administrative records, communication equipment, reference documents, procedure manuals.

e. The second category: Activities are the operations and processes of the element.

- Activities are the things that the inputs make happen.
- Examples of activities
  - policemen patrolling streets
  - counselors counseling inmates
  - volunteers babysitting for witnesses
  - evaluators compiling statistics and records
  - staff specialists interviewing employers
  - radio stations broadcasting good citizenship messages
- Activities range from simple to complex
  - some are "caused" by a single input (e.g., a police car patrolling a street).
  - some are "caused" by interaction of several inputs

f. The third category: Results are the short-term effects of the activities.

- Results represent positive accomplishments. They are the "ends" of the activity:

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- Examples:
  - the number of work releases placed on jobs
  - the response time to answer an emergency call
  - the number of witnesses taken to court
  - the number of personnel records completed by a department
  - the number of drug addicts completing a counseling program
- When results are expressed in quantified and time-bound terms, they are called objectives.

f. The fourth category: Outcomes is the desired longer-range effects of the program.

- Outcomes are what should happen if the underlying logic of a strategy is sound and it is implemented as planned.
  - the right mix of inputs produce the right kind of activities, which produce the expected results, which leads to the desired outcome.
- Outcomes can be thought of as the equivalent to the strategic goals of a program, but the meaning can vary in other contexts.

g. The MOR provides a conceptual framework for describing and explaining to others what the element is and what is needed to implement it, and what its expected results and outcomes are.

7. Applying the MOR to the Design of an Element: Identifying Activities

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In the evaluation course, outcomes are equated with long-range normative type goals ("reduce crime")

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a. The first step in applying the MOR to the design of an element is to specify the activities that would have to be carried out in order to implement the element.
   - For the moment try to ignore who would carry out the activity and focus on the tasks that would have to be completed.

b. In specifying activities it is useful to maintain a distinction between those activities that would be carried out in order to get the element "up and running" and those activities that would be carried out on a regular basis after the element is in place.
   - In general, it is easier to think about the on-going activities first. The on-going activities -- once they are all identified -- will tend to suggest the inputs and activities that would be necessary to get the element started.
   - Example: If we are implementing a child care element for witnesses with young children, we might see that the care would consist of providing meals, providing play and recreation, providing emergency medical care, etc. Once these activities have been specified we would then know that to make these activities available we would need to hire someone to prepare meals, supervise play, etc.

c. Several methods could be used to identify the activities necessary to implement a particular element.

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   - Persons who have actually carried out a similar element could be consulted for advice.
   - Persons with experience in similar efforts or with a stake in the element (e.g., potential implementors or potential clients) could be gathered to "brainstorm" about the element or go through a formal decision-making exercise (such as the NGT or Delphi).

8. Applying the MOR to the Design of an Element: Identifying Inputs

   a. Once all of the activities necessary to implement an element have been specified, the next step is to identify the inputs that would be needed to carry out each of those activities.
      - Inputs can be divided into two broad classes: people and things. In this step the program developer should be concerned about who will carry out the activities and what resources those people will need.

   b. While identifying who will implement the activities the program developer may be able to identify specific persons, agencies or organizations, or the "who" may remain an open category to be filled by any number of qualified individuals or groups.

   c. While identifying the resources needed to implement an activity, the program developer should keep in mind any existing resources that could be used or adopted for the program.

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d. Example: One activity to implement the child care element is to inform qualified witnesses that the service is available. What inputs would be needed to support this activity? On the resource side would be such items as a list of qualified witnesses, some means of contacting the witnesses (telephone, form letters, postage), press releases (to inform the general public about the service), office space (to house the person who will do the task), etc. On the "who" side several options are open. The "who" could be someone in the police department, the prosecutor's office, the public defender's office, the court administrative office, or someone completely outside the CJS (e.g., volunteers).

e. The program developer should attempt to identify as many specific inputs needed to support each activity as possible.

- If there are several options open to the program developer in terms of persons or resources the program developer should again apply the five criteria in order to select the set of inputs that best fit his or her needs, resources and limitations.

9. Walkthrough - Applying the MOR to the Design of an Element: Identifying Activities and Inputs. (30 minutes)

a. In this desk activity the participants will be given a chance to practice identifying the inputs and activities needed to implement an element of a strategy.

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b. The desk activity will be carried out as a walk-through with the participants providing the responses and the instructor serving as a recorder and facilitator.

c. Across the top of the blackboard or flip-chart write the normative goal, the strategic goal, the strategy, and the element statements.

- Normative Goal: To increase the conviction rate in the jurisdiction
- Strategic Goal: To increase the number of witnesses who appear in court
- Strategy: Make testifying in court more convenient to witnesses
- Element: Provide free transportation to and from the courthouse to all witnesses

d. Divide the blackboard or flip-chart into two columns labeled "Inputs" and "Activities" respectively.

e. Ask for volunteers to suggest activities that would have to be carried out to implement the element.

- List these activities under the appropriate column.
- Remind the participants again of the distinction between "start-up" activities and activities to be carried out day-by-day.

f. After approximately 10 minutes, or when the page or area under the activities heading has been filled up, ask the participants to shift their

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focus from the activities to the inputs that would be needed to carry them out.

- Indicate to the participants that the process of identifying activities could continue for a very long period.
- Also remind the participants that they are working on only one element under a particular strategy and that this process would be repeated several times for many other elements under this and other strategies.

g. List the inputs needed to implement each activity under the appropriate column.

- Remind the participants of the distinction between human inputs and material or resource inputs.
- Allow the participants to continue for about 10 minutes.

h. Acceptable and Desireable Products: The following are possible answers to the walkthrough.

- Activities (On-going)
  - Informing witnesses of the service
  - Scheduling pick up time
  - Taking witnesses to and from the courthouse
  - Coordinating witness and courtroom schedules
  - Verifying mileage of witnesses who use own car or public transportation
  - Compensating witnesses for travel expenses
  - Maintaining records of payments
  - Upkeep on vehicles
- Activities (Start up)
  - Develop system for informing witnesses
  - Develop procedures for recording pickup schedules
  - Train/orient drivers on pickup system
  - Develop procedures for obtaining court and witness schedules
  - Develop procedures to verify witness travel expenses
  - Establish payment account and procedures
  - Develop record keeping procedures
  - Develop vehicle upkeep schedule
- Inputs (On going)
  - Means of communicating with witnesses (e.g., letter, pamphlet, telephone)
  - A person to communicate with witnesses and schedule pick-up times
  - A vehicle to pick up witnesses
  - A driver or drivers
  - A person to coordinate court/witness schedules
  - A person to verify witness travel expenses and make payments
  - A person to maintain payment records
  - A person to maintain vehicle
- Inputs (Start up)
  - A person to plan systems for informing witnesses, recording schedule, train/orient drivers, obtaining court and witness schedules, verifying travel expenses, making payments, and record keeping.
  - Funds authorized for payment to witnesses

i. Debriefing: In the debriefing make the following points:

- This exercise was intended to demonstrate the utility of the MOR as a device to design the details of a program element -- in the major workshop the participants will have a chance to carry the process through to the end.
- This process is an iterative process -- there are several options open to the program developer as to specific inputs and activities -- the program developer might be forced to go through several stages of refinement before a final set of inputs and activities is developed.

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- In deciding between specific activities and inputs, when options are available, the criteria used to assess potential elements (i.e., effectiveness, feasibility, acceptability, evaluability and cost) should be applied.
- This process was hindered by a lack of hard information about the conditions in the town, city, or state where the program was to be implemented. It would be easier to develop these activities and inputs if this information could be made available.

10. Applying the MOR to the Design of an Element: Identifying and Assessing Results

a. The final step is the design of an element using the MOR is to identify and assess the results of the element's activities.

- Review: The results of a program are the direct and immediate products of the activities.
- Example: The results of the activity of providing job counseling to juveniles is a certain number of juveniles receiving advice, guidance or job referrals.
- When stated in terms of measurable and time-bound products, the results of an activity can be thought of as objectives of the activity or element. At this stage in the program development process we cannot yet state the

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End of desk activity

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results as objectives. However, the results will eventually form the basis for developing the objectives.

b. Identifying the results of an activity is a straightforward projection of the activity, described in terms of products rather than as a process.

c. At this stage the program developer should be concerned about two aspects of the results the activities should achieve:

- The magnitude of the results (e.g., the number of juveniles counseled) and
- The logical relationship of the results to the strategic goal and the strategy.

d. Estimating the magnitude of results depends heavily on the circumstances and level of information available to the program developer.

- In many instances it will be difficult to estimate how many cases a prosecutor could process or a counselor could handle over a period of time.
- The program developer could refer to previous programs to arrive at reasonable estimates of magnitude.

e. The Problem Statement may provide indications of what the magnitude of results should be.

- Example: If the Problem Statement indicates that an average of 342 witnesses

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per year fail to show up in court because of transportation problems the program developer could assume that the transportation element will be expected to provide services to 300 or more persons over a years time to be as effective as possible.

- Depending on the availability of local resources, the program developer may be forced to accept a lower level of performance which would significantly reduce, but not entirely solve the transportation problem.

f. Assessing the logical relationship between the results of an activity and the strategic goal is a necessary step to insure that the element or activities will, in fact contribute to the achievement of the strategic goal.

- The program developer should ask, "If I achieve this level of results because of this activity or element, will this result meet the strategic goal?"
- In some instances the results of the different activities will meet the strategic goal because of their cumulative effect.

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g. As a result of this assessment the program developer may be forced to revise the activities of the element or select a different set of activities to achieve the necessary level of results.

- This may mean revising the type of inputs needed to support the activities.

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Module V: Planning the Details of Program Strategies

Segment B: Workshop on Planning the Details of Program Strategies, Part 1.

INSTRUCTOR GUIDE

Introduction

a. In this workshop we will practice the steps discussed in the lecture relating to:

- Developing and assessing the elements of a strategy, and
- Planning the details of program elements

b. In this workshop you will develop the details of the strategy selected at the end of the previous workshop.

- Each group will continue to work independently with the strategy previously assigned.
- Each group will develop the details of one element under the strategy.
- Keep in mind that the products of this workshop represent elements of a larger program which might include other strategic goals, strategies, and elements. You are focusing on only one element because of time limitations. In an actual Program Development Effort, you would repeat these steps several times for each element of each strategy.

c. During the workshop the participants should have:

- A copy of the Student Guide
- A copy of the Problem Statement
- The materials developed in the previous presentations in Modules III and IV.

d. At the conclusion of this phase of the workshop each group will make a presentation of its progress.

- In the next phase of the workshop the groups will complete the process and present a decision package.

e. You may now leave for your assigned workshop breakout areas.

- Any questions?

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Module V: Planning the Details of Program Strategies

Segment B: Workshop on Planning the Details of Program Strategies, Part 1.

FACILITATOR'S GUIDE

1. Introduction:

   a. In this workshop the participants will be given an opportunity to practice the steps in the program development process related to:

      - Developing and assessing the elements of a strategy, and
      - Planning the details of program elements.

   b. The participants will work with the strategy assigned to them at the end of the previous workshop.

2. Preparations:

   a. For this workshop the breakout area should be equipped with a blackboard or flipchart, marker pens or chalk and tape to mount flipchart pages on the wall.

   b. The participants should have brought with them:

      - Their Student Guides
      - The Problem Statement, and
      - The materials developed for the presentations in previous workshops

   c. The previously developed materials should include:

      - The normative goal statement;
      - The list of strategic goals, including the strategic goal assigned to the group;

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- The list of possible strategies developed by the group, including the strategies assigned to the group;
- The rationale of the strategy assigned to the group;
- The list of potential elements under the strategy assigned to the group;
- The strategy assessment;
- The citations in the Problem Statement relating to the strategic goal, and
- The list of problem components relating to the strategic goal.

3. Specific Instructions.

a. The workshop will be carried out in seven steps.

- Step 1. The participants will expand the list of potential elements under the assigned strategy (30 minutes);
- Step 2. The participants will assess the elements, applying the five criteria discussed in the lecture (45 minutes);
- Step 3. The participants will select one element from the list of potential elements (15 minutes);
- Step 4. The participants will identify the activities necessary to implement the selected element (30 minutes);

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- Step 5. The participants will identify the inputs necessary to support the activities (15 minutes);
- Step 6. The participants will identify and assess the results of the activities (30 minutes);
- Step 7. The participants will prepare a presentation for the group (15 minutes);
- Total time allowed for this workshop is 5 hours including the debriefing (1 hour).

4. Step 1. Expanding the List of Potential Elements (30 minutes)

a. The participants should refer to the list of potential elements developed in the previous workshop.

- Those elements developed under the strategy assigned to the group (and only those elements) should be identified and listed separately on the blackboard or a flipchart sheet.
- The normative goal and the strategic goal statements, and the description of the strategy should be either mounted where the participants can easily see them, or they should be copied on the flipchart sheet where the potential elements are listed.

b. The participants should then begin to identify additional elements that could be used to implement the strategy.

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- They should refer back to the list of problem components relating to the strategic goal.
- They should refer back to the portions of the Problem Statement relating to the strategic goal.

c. As additional elements are identified they should be added to the original list.

d. At the point where the participants have exhausted their ideas for additional elements, or after 30 minutes have elapsed, ask the participants to proceed to the next step.

5. Step 2. Assessing the Elements of the Strategy. (45 minutes)

a. Assign a letter identifier to each of the potential elements (A, B, C, D...etc.)

b. Have each of the participants remove the Potential Element Assessment Form from the Student Guide.

c. Have the participants re-read the portions of the Problem Statement relating to the strategic goal they were assigned.

- Allow about 15 minutes for this step.

d. After the participants have completed reading the Problem Statement ask them to rank order the elements on each of the criteria listed on the Potential Element Assessment Form, and to compute an overall ranking score for each element.

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Notes and Comments

- This is the total of all rankings assigned to an element. (e.g., If element A ranked 1 on effectiveness, 3 on practicability, 5 on acceptability, 4 on evaluability and 2 on cost, its ranking score would be 15.)
- Each participant should work independently.
- Allow about 10 minutes for this step.

e. After all participants have completed the form the Facilitator should collect them and record the vote on the flipchart after each element.

- The average ranking score for each element should be computed (Total of all scores divided by the number of participants).
- Allow about 5 minutes for this step.

f. After the scores have been computed open a discussion of the elements and the way they were scored emphasizing

- The reasons why participants assigned the scores they did.
- Evidence in the problem statement supporting the assessment.
- Allow about 20 minutes for this discussion, then proceed to the next step.

6. Step 3. Selecting an Element for Further Development (15 minutes).

a. After the 20 minutes of discussion the Facilitator should focus the group's attention toward the selection of one element for further development.

Notes and Comments

b. If the group cannot reach an agreement on their own, a second vote should be taken in which each element is assigned a single overall ranking.

- The participants should not rank the elements on each criteria but only assign a single ranking score.

c. If the group chooses to vote, the results of the vote will be binding.

7. Step 4. Identifying Activities to Implement the Selected Element: (30 minutes)

a. A new sheet of flipchart paper should be headed with a label of the element chosen in the previous step and divided into three columns headed:

- "Inputs"
- "Activities," and
- "Results," respectively.

b. The "Inputs" column should be further divided into two columns headed:

- "Persons" and
- "Resources" respectively.

c. The participants should then begin to identify specific activities necessary to carry out the element.

- The activities should be listed under the appropriate column.

Notes and Comments

- Remind the group to distinguish between "start up" activities and activities that would be carried out after the element is "up and running."

d. After all activities have been identified ask the group to proceed to the next step.

8. Step 5. Identifying Inputs to Support the Activities. (15 minutes)

a. On the same sheet, the participants should begin to identify resources and persons necessary to carry out the activities developed in the previous step.

- As inputs are identified they should be listed under the appropriate columns.
- If the group develops optional resources or persons to carry out an activity they should decide on one or leave the category open, indicating that there are options open.

b. After all inputs have been identified ask the group to proceed to the next step.

9. Step 6. Identifying and Assessing the Results of the Activities. (30 minutes)

a. On the same worksheet the participants should identify the probable results of the activities they developed in Step 4.

- The results are usually expressed as the logical products of the activities.

Notes and Comments

- Example: If the group developed an activity to "establish guidelines for the police to divert juvenile arsonists" the probable result of this activity would be "police divert juvenile arsonists according to established guidelines."

b. Wherever possible, the participants should estimate the magnitude of the results to be achieved by activities.
   - The participants should refer back to the Problem Statement as a guide to the magnitude of the results to be achieved.
   - Example: If the Problem Statement indicates that only 5 percent of all fires are fully investigated and the group has developed an activity involving an increase in investigations, the group should estimate what the probable increase in the number of investigations would be or should be as a result of their activity.

c. Important: If information is not available in the Problem Statement, do not permit the group to guess about the magnitude of results.
   - They should indicate that the probable results are not known.

Notes and Comments

d. After all results have been identified the participants should review them and verify that the results will in fact contribute to or meet the strategic goal.

10. Step 7. Preparing the Presentation. (15 minutes)
    a. The participants should organize the materials they developed for the presentation to the group.
    b. In the presentation they will be expected to present.
       - A restatement of the strategic goal statement;
       - A restatement of the strategy they were assigned,
       - The expanded list of elements developed in the workshop, and the identification of the element chosen for further development,
       - A description of the activities necessary to carry out the element,
       - A description of the inputs needed to support the element, including persons and resources,
       - A description of the results to be achieved by the activities, including an explanation of how the results will contribute to or meet the strategic goal.
    c. Each group will be given 15 minutes to make its presentation.
    d. After the presentation has been prepared this part of the workshop is concluded.

Notes and Comments

1. Presentations by the Groups. (45 minutes)
   a. Each group should present the products of its work in the workshop.
      - Each group should be allowed no more than 15 minutes for its presentation.
   b. Other participants should be encouraged to take notes on the presentations, but to withhold questions until the debriefing period.
2. Acceptable and Desireable Products
   a. Step 1: Expanding the List of Potential Elements.
      - Continuing the example used in the previous exercise, the following elements were identified for the strategy - Educate juveniles on the consequences of arson and arson prevention:
        - Educate juveniles on the consequences of arson
        - Treat and/or educate juveniles with an inordinate facination with fire
      - Additional elements under this strategy might include:
        - Develop advertising campaigns aimed at juveniles to prevent arson
        - Take school children to fire scenes to impress on them the destructiveness of fires
        - Develop regular classroom presentations on arson and fire prevention

Notes and Comments

See next page

   b. Step 2: Assessing the Elements of the Strategy.
   c. Step 3. Selecting an Element for Further Development.
      - The element to be developed further is the development of a regular classroom presentation
   d. Step 4. Identifying Activities to Implement the Selected Element.
      - The on-going activities under this element would include:
        - Scheduling classroom time in schools
        - Scheduling instructors to make presentations
        - Conducting classroom presentations.
      - The start-up activities would include:
        - Establish the training course content
        - Developing the curriculum and materials
        - Recruiting instructors
        - Training/orienting instructors to curriculum
        - Testing and revising curriculum
        - Coordinating presentations with school year schedule
        - Persuading/orienting school authorities to program
   e. Step 5. Identifying Inputs to Support Activities.
      - On-going inputs would include:
        - A person to schedule classroom time and coordinate instructors
        - Instructors to make the presentations
        - Supplies of course materials

Module V: Workshop
Worksheet 1

POTENTIAL ELEMENT ASSESSMENT FORM

Strategy: Educate Juveniles on the Consequences of Arson and Arson Prevention

List of Elements	Criteria and Rankings					
	Effectiveness	Practicality	Acceptability	Evaluability	Cost	Retain?
A. Educate juveniles on the consequences of arson	3	3	3	3	3	$\bar{x}$= 3.0 NO
B. Treat and/or educate juveniles with an inordinate facination with fire	4	5	5	5	4	4.6 NO
C. Develop advertising campaigns	5	2	2	4	5	3.6 YES
D. Take juveniles to fire scenes	1	4	4	2	2	2.6 YES
E. Develop regular classroom presentations	2	1	1	1	1	1.2 YES

CONTINUED

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Notes and Comments

- Start-up inputs would include:
  - A person to establish what should go into the classroom course
  - A person to develop, test, and revise the classroom curriculum and materials
  - A person to recruit, train, and orient instructors
  - A person to coordinate the presentations with the school year calendar
  - A person to present the proposed course to the school authorities and persuade them to cooperate

f. Step 6. Identifying and Assessing the Results of the activities.

- The results of the activities would include:
  - An agreement with school authorities
  - A classroom course on arson prevention and the consequences of arson
  - A series of classroom presentations of the course
- The magnitude of results would depend on the number of schools and the size of the school-age population.

3. Debriefing.

a. After the participants have made their presentations, they should be encouraged to ask questions or make comments on the workshop, or the products of the groups.

Notes and Comments

b. In the debriefing the Instructor should emphasize the following points:

- The purpose of planning down to this level of detail is to assure that the strategies developed in the previous module can and will be implemented.
- Even if the program developer is not responsible for planning the program down to this level of detail he or she may be expected to review, comment on, or approve the development work of the persons who will actually implement the elements. Thus, these tools are valuable in that they provide a framework within which to make that assessment.
- The criteria used to assess the different elements (i.e., effectiveness, feasibility, cost, etc.) can and should be used at several different points in the process--whenever more detail has been developed so that the criteria can be more precisely applied. Realistically, this step requires a detailed understanding of the jurisdictions' politics, finances, economic conditions, and governmental structure--more detail than we could provide in the exercise. In the participants' own jurisdiction, this information should be part of the program developer's tool-kit.

Notes and Comments

- The application of the MOR at this step is intended to provide a useful and familiar structure for the planning of the program. It is applied at the element level because it is at this level that realistic decisions about activities, inputs, and results can be made. It could also be applied at a higher level--at the strategy level--but the level of detail would necessarily be more abstract. In the participants' own jurisdiction, the appropriate level at which to apply the MOR will be much clearer. Persons at a higher level agency (i.e., a statewide operating or planning agency) might wish to apply the technique at the more general level. Persons working at a lower level agency may find that even more detail will have to be developed at this step.
- Once the planning gets down to the level of specific elements it becomes easy to lose sight of the overall program. Participants should avoid this by keeping in mind that each of the elements is only a part of the larger program plan.
- The second half of this module will refine the details of the elements further after which we will start back up to put these elements together into a package.

Notes and Comments

INSTRUCTOR'S NOTES

1. Review and Introduction.

   a. In the previous lecture segment we discussed the first steps in the planning of the details of the program strategies. We discussed:

      - The role of the program developer in developing the details of strategies
      - The identification and assessment of program elements, and
      - The development and assessment of the details of program elements

   b. In this segment we will continue the process and cover the following topics:

      - Identifying and assessing the impact of the program on the existing system,
      - Identifying and assessing the internal impact of program elements on each other,
      - Scheduling and networking the program elements,
      - Developing objectives,
      - Developing program resources and budgets, and
      - Preparing the decision package.

2. Identifying and Assessing the Impact of the Program on the Existing System.

Notes and Comments

   a. For a program to work as intended, it must accommodate the system, both current and future, into which it fits. The program developer must look for constraints and potential impacts between the program and the existing context in which it will operate.

   b. If not planned for, these impacts can damage the program and the system.

      - The system can produce negative impacts on the program. Surrounding conditions can impair the program itself; as with legal obstacles or public resistance to certain strategies or elements. These are impacts <u>from</u> the system.
      - Alternatively, program events can create crises in other parts of the system -- such as backlogs, resource drains, or crime displacement. These are impacts <u>on</u> the system.

   c. The best way to demonstrate the importance of anticipating system impacts is to look at examples of programs that have failed by ignoring their contexts. These examples come from practitioners who consider the impacts to have been predictable and the damage preventable.

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- Example: An example of how an unanticipated system impact damaged a program is the case of a program to train line police personnel. The program was set up so that a certain number of line officers were to be taken off the job and systematically fed through the training program a few at a time. However, the plan depended on the availability of a reserve of police officers who could cover for the officers going through the training. The program broke down when a new mayor was elected who placed a freeze on all hiring in the police department. In short order the reserve of officers disappeared and the police department could no longer afford to release men for additional training.
- Example: An example of how a program can have an impact on the existing system is illustrated by the case of a program to unify the state court system. One of the strategic goals of the program was to speed up the disposition of cases in the system. Unfortunately, the program was so successful that it created overcrowding in the prison system and a spill-over into local jails.

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d. One way to identify and assess the impact the system might have on the program is to develop a checklist of factors, such as the one shown in your Student Guide.
   - To use the list, ask of each factor named how it might figure in the action of the program now and in the future. Might it disrupt the program?
   - Finding answers requires analyzing both conditions (e.g., unemployment) and events (e.g., elections). This means keeping up with current affairs, reviewing trends, and synthesizing these to anticipate changes in the system.

e. One way to identify and assess the impact the program might have on the system is to review the Problem Statement.
   - A good Problem Statement will identify those agencies and systems that are already being affected by the problem or are currently trying to address the problem.
   - A good Problem Statement will also provide data on the magnitude of the system's current effort with respect to the problem.

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- Example: The Problem Statement indicates that prosecutors can currently handle only about 40 percent of all juvenile cases referred to them by the police. If you are designing a program that will increase the number of juvenile arrests made by the police this will have an obvious aggravating effect on the prosecutor's workload.

f. The program developer could prepare a System Impact Matrix

- Across the top of the matrix write in the agencies and organizations that are currently affected by the problem or are working to address the problem. This information should be contained in the Problem Statement or it should be gathered by the program developer.
- Along the left hand margin of the matrix write in the results of the various elements of the program.

g. The assessment of the program's impact can be carried out by systematically examining each cell created by the intersection of a result item and an organization or agency.

Create the format of the matrix on a flipchart or blackboard. The format is shown on the following page.

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- While examining the cell the program developer should ask:
  - How is this agency currently affected by or affecting the problem?
  - How will the results of this element affect this agency?
- If a particular agency performs several different functions with respect to a given problem the program developer might be obliged to consider how the program's results will effect each of these functions.
- Example: If the police department is involved in a juvenile diversion program in addition to its normal prevention, investigation and apprehension functions the establishment of a neighborhood block watch effort might affect each of those functions (e.g., residents upset because the police divert rather than arrest juveniles identified by the block watch.)

h. This assessment could produce several responses from the program developer.

- The program developer may discover that he or she needs to gather additional information about a particular agency (i.e., the program developer realizes

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that the probable impact of the program on the agency is not known)

- The program developer may choose to adjust the element or activities of the program to minimize or eliminate the anticipated impact.
- The program developer may develop additional activities in order to accommodate the anticipated impact.
- Example: If the results of the program will be to increase the workload on the police beyond a reasonable level the program developer may be forced to recommend an increase in the number of police or some other measure to accommodate the impact.
- The program developer may identify areas where the program must or could coordinate its activities with those of another agency or organization.
- Example: The program developer might discover that a senior citizens group already provides free transportation to elderly persons who are called to testify in court. This would be an obvious area where the program should coordinate its activities with a part of the existing system.

Notes and Comments

i. The System Impact Matrix is not a foolproof method of assessing the impact of a program on the system.
   - The technique is only as useful as the completeness of the list of affected agencies and the list of program results.
   - In a large, complex program involving many elements and activities the process could also be very time-consuming and complicated to interpret.
   - Even after such an analysis there may be areas of impact that were not anticipated or which arise only after the program is underway.
   - This technique can only minimize the number of unanticipated impacts -- it cannot entirely eliminate them.

j. Question to the Participants: Ask the participants how they currently account for or accommodate the impact of a program or project on the existing system? (10 minutes) — Class discussion

3. Identifying and Assessing the Internal Impact of Program Elements.

   a. Another source of impact is within the program: the interactions between the various elements. Again, we want to identify

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possible conflicts and areas of needed cooperation in the plan. We need to ask:

- Who should talk to each other?
- Who might interfere with each other?
- Who is working at cross-purposes?

b. A way to systematically answer these questions is to assess the results of each element with each of the other elements. A convenient way to do this is to arrange the elements in a matrix. We will call this an Internal Impact Matrix, since it shows which elements can affect each other.

- List the program elements, repeating them across the top and down the side of the matrix.
- Examine all pairs of elements by looking at each cell, and asking:
- Is there a conflict between these elements? (Are there inconsistent objectives; too much drain on the same personnel, resources, etc.?)
- Is coordination needed between these elements in timing, communication, etc.?
- Example: If the police are intended to inform witnesses about the availability of transportation services to and from the courthouse and another aspect of the

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program entails training police on report writing, the program developer might include an orientation session on the transportation service during the other training being provided.

c. The program developer should make notes on the type of cross-impact anticipated and areas where different elements should be coordinated.

d. After the internal impacts have been identified the program developer should design measures to take care of these needs and integrate them into the list of activities.

Note that if new elements are added, they should be MORed and re-analyzed.

- Example: If the analysis indicates that there is a conflict between rescheduling the court's docket to permit trials on evenings and weekends, and the availability of public transit during those hours or days, the program developer may be forced to add auxiliary transportation services to accommodate both elements.
- Example: If the analysis indicates that there is a potential conflict between the time available to prosecutors to instruct witnesses prior to trial and the additional number of witnesses expected to be brought to court by the project, the

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program developer may wish to add a coordinating mechanism to the program to smooth the flow of witnesses through the system.

e. Eventually, all the activities making up the program should be arranged on the matrix.

4. Networking and Scheduling the Program Elements. See Instructor's Note

a. Once all of the system impacts and internal impacts have been identified and accommodated, the program developer can now turn to the development of the program network and the establishment of a schedule for individual activities, elements and the program as a whole.

b. The MOR developed earlier provides little more than a listing of inputs, activities and results. We need an organizing tool to aid in further planning as well as in communicating the plan to decision makers and implementors. This tool should:

- Relate the activities of the element in time, and enable the program developer or decision makers to make other decisions on how activities are to be scheduled;
- Show implementors what is important to do when;

INSTRUCTOR'S NOTE

The coverage of networking in this section is very similar to the planning technique called PERT (Program Evaluation and Review Technique). This technique along with Critical Path Method, is commonly used to schedule complex projects or programs in business and industry. This presentation deletes the fairly complex mathematical considerations that go into estimating the duration of activities and the more refined aspects of establishing optimal networks, resource allocation, etc. A person with a basic grounding in algebra or statistics could probably master these methods in a short time. The participants should be urged to examine a standard reference on the subject such as:

Joseph Horowitz. Critical Path Scheduling: Management Control Through CPM and PERT, New York: The Ronald Press Company; 1967.

	Notes and Comments
• Show monitors and evaluators the planned sequence of program events.	
c. A tool that fills these needs is the network -- a flow chart of activities in time.	
d. The network is a graphic tool that displays three aspects of an element:	
• How the activities of an element are sequenced or ordered with respect to each other,	
• How long each activity will take to complete,	
• What calendar dates are to be associated with the program activities.	
e. How does a network display this information?	
• The activities of an element are represented as processes in time, by means of horizontal lines: o—operate services—o	
• The way the lines relate in space shows how the activities relate in time: their order, duration, and dates.	Demonstrate on flipchart or blackboard.

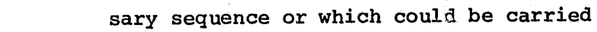
Notes and Comments

- The program developer should be prepared to adopt one of the fall-back options developed earlier in the process if some insurmountable conflict develops at this stage in the process.

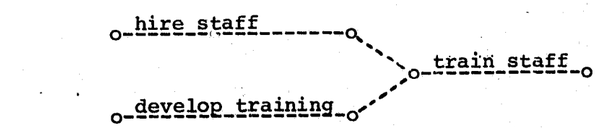
5. Networking: Ordering the Activities of an Element.

Instructor Note

a. The planned ordering of activities is indicated by the left-to-right sequence of lines:



b. Independent activities which have no necessary sequence or which could be carried out simultaneously are presented lined up one above another.



c. Identifying necessary sequences among activities is largely a matter of logic. Look closely at the list of activities and ask, "What has to happen first, before something else can start?"

d. A simple technique to help you develop the sequence of activities is to write each activity on a 3" x 5" card -- one card per activity -- and array the cards in front of you.

INSTRUCTOR'S NOTE

Distinguish the use of "network" here from the evaluation course. There, the network is an extended MOR. Here, the network differs from a program rationale in function and content. Participants who question the utility of the distinction can be told these points.

- A rationale is not a work plan. It ignores durations and dates, though it implies sequence through logical dependencies.
- The network is a cornerstone of the plan. It arranges the activities as processes in time.
- The network also shows the activities necessary to set up that system, to assemble the program machinery.

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- This simple device enables you to easily rearrange the order of activities until a logical sequence is developed.

6. Networking: The Duration of Elements.

   a. Once you have established the sequence of activities you should then estimate how long it will take to complete the activity or estimate the period over which the activity will be carried out.

      - The program developer should distinguish between activities that are carried out only once over a fixed period (e.g., providing orientation training) and activities that are carried out on a day-to-day basis throughout the life of the program (e.g., counseling juveniles).

   b. Duration is represented by setting the network against a time line.

      - The program developer should first select an appropriate scale against which to display time (i.e., days, weeks, months). This will depend largely on the kinds of activities being performed and the level of detail at which the program developer feels most comfortable.

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      - During the early period of a program, when a variety of activities relating to getting the element started are being performed, the program developer may wish to use a shorter time scale. During later periods, when the program has (hopefully) settled into a routine longer time periods are more appropriate.

   c. The program developer should then estimate how long each activity will take to complete.

      - These estimates should be as accurate and realistic as possible because they will be used later to estimate the budget for the element.
      - The program developer may wish to consult with persons who have performed similar activities to estimate the time needed to complete an activity.
      - Remember, there is a natural tendency to assume that activities will be performed more quickly than they can be in reality. The program developer should balance off this tendency by permitting a certain amount of leeway for the completion of activities. This should be done particularly during the early phases of a program when persons are usually new to their jobs and uncertain about their roles.

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- Also remember that in order to perform a particular activity more quickly will usually involve a direct increase in the amount of resources and the number of persons needed, thus increasing the cost of the activity.

d. After each activity has been estimated for time the program developer can then display the network against the time line.

Visual V-B

- The location and length of the line will indicate when the activity will begin, how long it is expected to last and when it will end.
- Remember to maintain the sequence of activities. If, after arraying the activities against the time line, the program developer discovers that the schedule is too long, he should consider revising the activities or increasing the persons and resources needed for particular activities in order to speed up the process.

7. Networking: Dates and Milestones.

a. To this point we have networked and scheduled the element as if it could begin and end and reach certain points in its progress at any time. In the real world, however, programmers

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are constrained by a variety of deadlines, time limitations and events that will determine where the beginning, the end and points between must fall.

- Legislative calendars, fiscal years, pending elections and competing events are examples of constraints on the program schedule.
- In other instances decision-makers will set dates by which the program must show substantial results or reach certain points in its progress.

b. Faced with these constraints, the program developer should identify or establish the critical dates and milestones for individual elements or activities and for the program as a whole.

Visual V-C

c. The process for identifying and accommodating critical dates in the schedule and network of a program is as follows:

- The program developer should identify those critical dates that <u>cannot be changed</u> (e.g., elections, legislative schedules).
- The program developer should attempt to minimize the number of unreasonable deadlines established by decision-makers. This may mean educating decision-makers

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as to the realities of the program's probable rate of progress.

- The program developer should then integrate the remaining critical dates into the schedule, assess how they will effect the program and identify possible remedies.

d. Possible remedies might include:

- Collapse the network so that more activities occur together.
- Adjust the expected level of results (e.g., reducing the number of clients to be served to cut proportionately the time required for an activity.)
- Reallocate resources among activities (e.g., transferring money or people from a less to a more crucial activity).

e. Once the network and schedules for individual elements of the program have been developed and approved by decision-makers, the program developer may wish to construct a master network for the entire program, following the same procedures at the level of elements rather than activities.

- Such a "master" network should not be constructed until the elements of the program have been approved.

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8. Desk Activity -- Networking and Scheduling the Program Elements. (30 minutes)

a. In this desk activity the participants will be given an opportunity to practice networking and scheduling the activities of an element.

b. Have the participants read the instructions and the scenario in their Guide. Answer any questions and then have them carry out the instructions.

- Allow 20 minutes for this step.

c. Debriefing:

- Have one of the participants present his or her network to the group.
- Ask the participants if they have any questions or comments about the network presented.
- Hand out the prepared version of the network to the participants.

d. In the debriefing emphasize the following points:

- The network provides a detailed schedule for each element of the program. When combined, the networks of all of the elements provide an overall schedule for the program. (In this desk activity we practiced only one. In an actual program

development effort this procedure would be repeated several times for each element. Eventually, when the elements have been approved, a master network would be constructed.)

- If you have taken the time to separate start-up activities from on-going, day to day activities the networking procedure should be much simpler. Note that networking tends to be more useful for depicting the descrete and time-bound activities during the early phases of a program than the on-going, day to day activities.
- In this example the time was adequate to carryout all of the activities and still meet the commitment of the governor to graduate a class from the new academy before the elections. However, under some circumstances the time may not be adequate and the program developer would be forced to consider alternative measures to make the deadline.
- By networking the program elements the program developer can identify potential problems and take steps to remedy them before they occur.

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- The scheduling of activities through networking also provides the basis for establishing the program budget and establishing objectives.

9. Developing Objectives for the Elements of a Program.

   a. The next step in designing the details of a program is to establish <u>objectives</u> for each of the program elements.

      - <u>Review</u>: An objective is "a specific condition to be attained by a specific program of activities, stated in time-limited and measurable terms."

   b. The two key phrases in the definition of an objective are:

      - "time-limited" and
      - "measurable."

   c. Earlier, when we discussed the "results" category under the MOR we indicated that the results of an activity could be considered as <u>roughly equivalent</u> to an objective when stated in time-limited and measurable terms.

      - Now that we have established the schedule for the activities of the program elements we have formed the basis for establishing <u>time-limited</u> objectives.

End of desk activity

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- Earlier, when we discussed the magnitude of expected results we established the basis for developing measurable objectives.

d. Before discussing how objectives can be developed, based on this information we will first discuss the functions of objectives in a program. An objective serves two primary functions:

- It provides an immediate standard against which persons working in a program can measure their own progress, and
- It provides managers and evaluators with immediate indicators of how the program is working as a whole.

e. For the individual working in a program, particularly a large, complex program, the long-term outcomes of the overall effort often seem remote.

- The person may not see how what he or she is doing is contributing to the accomplishment of the strategic or normative goals of the program.
- In some instances the effects of individual elements are buried among the effects of other elements.
- In many instances the accomplishment of the strategic goal will not occur or

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become apparent for many months or years -- if at all.

- By establishing objectives the persons working in a program can receive immediate feedback on how well their part of the program is working, and -- presuming the logic of the strategy and of the strategic goal is sound -- the person can assume that success of an objective does in fact contribute to the accomplishment of strategic and normative goals.

f. For evaluators and program managers objectives serve a similar function; they provide a basis for immediately determining how well the program is performing as a whole even before the strategic goal has been, or could be expected to be accomplished.

g. Objectives are developed in a variety of ways: they may be established as a matter of policy by decision-makers or others; or they may be established empirically, based on an assessment of the expected and reasonable level of performance of the program elements.

- Objectives may be developed by decision-makers, courts, professional standard-setting bodies, or individual agencies as as matter of policy.

Notes and Comments

- Examples: The courts may have established a limit on the number of persons who may be housed in a cell; a probation agency may set a quota on the number of clients a probation officer must serve; the state district attorney's association may establish a standard number of hours of training a new prosecutor must receive.
- In program development the preferred approach to developing objectives is to empirically assess what the probable and reasonable level of performance of a particular element should be.
- Example: If the program developer estimates that a given shelter care project can provide housing to a maximum of 600 juveniles per year, and the number of juveniles needing such services is in the thousands, it would be unreasonable to set an objective of reducing the number of juvenile runaways by 30 percent.

h. To establish reasonable objectives the program developer should:

- Establish observable indicators of performance for the elements of the program.
- Determint the magnitude of results likely to be achieved by a program element in terms of those indicators.

Notes and Comments

- Examine the network and schedule for the element and determine when those results will probably be achieved, and
- Estimate what a reasonable level of performance on each indicator for the element would be.

10. Desk Activity - Developing Objectives for the Elements of a Program (30 minutes)

a. The purpose of this desk activity is to give the participants a chance to practice setting objectives for an element of a program.

b. The participants should read the instructions and the information in their Student Guide and carry out the steps indicated on their own.

- Allow 20 minutes for this step.

c. Explanation of Suggested Answers.

- The estimated performance for six months is as follows:
  - five survey teams trained within one month from the start of the project
  - 500 households contacted within the first six months of the project
  - 100 inspections completed during the first six months
  - ten locks installed within the first six months

Notes and Comments

- The first estimated level of performance is dictated by policy--no more than five teams can be trained and the training takes one month to complete
- The second level of performance is a function of:
  - The number of months of activity (5)
  - The number of teams working (5)
  - The estimated number of contacts to be made (20)
  - 5 x 5 x 20 = 500 contacts
- The third level of performance is based on the estimate that only 20% of all residents contacted will agree to a survey
  - 20% x 200 contacts = 100 inspections
- The fourth estimate is based on the fact that 10% of the households are eligible for the service. Thus, each team has a 10% probability of contacting an eligible household of which only 20% are expected to agree to an inspection and thus be eligible for the lock installation service
  - 500 contacts x 10% x 20% = 10 lock installations

d. Debriefing: Have one of the participants present his or her work to the group, and ask for comments or questions about the activity or the answers. In the debriefing make the following points:

- Developing objectives is an important step in the program development process because:
  - It provides the basis for persons in a program to assess their own immediate performance.
  - It provides the basis for managers and evaluators to determine immediately how the program is performing overall.
- If possible, objectives should be established empirically, based on the reasonable and expected performance of the elements.
- If the program developer is uncertain how a particular element will perform the objectives for that element should not be set arbitrarily, but should reflect the uncertainty about that element.

Notes and Comments

End of desk activity

11. Developing the Program's Resources and Budget

a. Planning for resources to support the program requires a set of interrelated decisions:

- What amount is needed?
- What amount is available?
- What amount must be acquired to fill the gap?
- The sources of the amount to be acquired?
- How should the resources be allocated among parts of the program?

b. Resource decisions should address each of the program elements individually before assessing the overall program's budget. This should be done to avoid the common tendency to "shave" expenses in order to remain under a fixed dollar amount. This may be necessary later, but the program developer should do this with the knowledge of his actual needs.

Notes and Comments

c. The level of resources needed by a program element is a function of two factors:
   - The inputs identified as necessary to support the activities of the elements, and
   - The amount of time those activities are to be performed.

d. These factors have already been identified in earlier planning steps.
   - The inputs were identified and refined when we planned the details of the element.
   - The time factor was established in the elements' network and schedule.

e. To establish the level of resources necessary the program developer should
   - Determine the amount of inputs needed to sustain each activity (i.e., the number of persons; the quantity of materials, equipment and facilities);
   - Determine the length of time each of these imputs will be utilized, and
   - Determine the amount of money that will be needed to acquire and maintain that amount of input over that period of time.
   - Example: To provide victim crisis counseling would require the employment of a professional counselor (input). If the

Notes and Comments

service is to be provided on a twenty-four hour basis the program would be required to employ 4.5 full-time counselors at a certain salary level each year (24 hours coverage x 7 days per week ÷ 40 hours per week (standard work week per counselor) = 4.5 full-time counselors needed x yearly/monthly/weekly cost).

f. In many cases the program developer may wish to consult an accountant or budget specialist in estimating the costs of supporting an element. The method described here is suitable only for estimating the costs of a program and may provide the basis for more detailed estimates by an expert.
   - This would be particularly true when the costs involve personnel or equipment likely to entail additional hidden or non-obvious costs (e.g. benefit levels, administrative costs, etc.)

g. The level of resources already available may be determined on the basis of the Problem Statement. A good Problem Statement will provide information about services already provided in relation to a particular problem as well as estimates of the amount of money being spent to address the problem.
   - The program developer may wish to consider how resources used for current efforts could be appropriated or adjusted for use in the program.
   - The program developer should also consider the utilization of resources already in place as a way to avoid the initial

acquisition costs of developing these resources from "scratch."

- These factors will depend essentially on local circumstances. There is no standard formula for determining available resources except that the program developer should be thorough and imaginative in seeking out resources that could be adopted for use by the program.

h. The amount of resources to be <u>acquired</u> is a simple function of subtracting what is available from what is needed.

- The amount to be acquired are <u>new inputs</u> to be created or obtained by the program.
- The program developer should attempt to reduce the level of new inputs as much as possible, since these will usually be the most expensive and untested aspects of the program.

i. The <u>sources</u> of new inputs to the program will vary from jurisdiction to jurisdiction. Beyond traditional funding sources the program developer should:

- Seek funding sources not traditionally used for criminal justice programs. Examples:

Notes and Comments

  - Federal sources are CETA, Drug and Alcohol Abuse, and Emergency School Aid grants. These have supported such programs as youth diversion.
  - Local sources range from Jaycees to the Salvation Army. These have been successfully applied, for example, to community crime prevention programs.

- Identify potential supports that do not require funding. Examples: Teaming citizen volunteers with policemen on foot patrol; finding existing structures to house detained juveniles rather than building new ones.
- Maximize the strength of what is available.
  - Coordinate existing funding sources, service agencies, or other traditionally used resources whose application is currently isolated or fragmented. Coordination fills gaps and prevents duplication of effort. The concept of <u>service</u> networks refers to a method of focusing scattered resources on one problem.

j. In those cases where the program developer is constrained by a fixed level of money or resources, choices must be made about which activities will receive what level of material support. The allocation of resources among different activities within an element, or among

Notes and Comments

Notes and Comments

different elements within a program will depend on:

- The relative importance of the different activities or elements to the overall success of the program
- The expected level of performance of each activity or element in terms of expected output versus needed input, and
- The optimal "mix" of activities and elements in the program.

k. In a complex program with several different strategic goals, several different strategies and several different elements and activities, the program developer should develop a sense of relative importance concerning the parts.

- This may be difficult in a program where different elements and strategies depend on each other to work properly.
- Example: The prosecutor will only improve his or her conviction rate if the police improve their report writing and the prosecutor has a more effective and efficient staff.
- However, the program developer should develop a sense about those parts of the program that are most likely to produce the maximum benefits in relation to the amount of resources allocated.

Notes and Comments

l. The process of allocating resources will depend on the different trade-offs the program developer can make so as to balance the expected results against the needed inputs.

- In obvious cases, such as an activity with a high resource need and a low or uncertain result level, the allocation decision may be relatively easy.
- Example: Using police officers to conduct door-to-door home security inspections.
- In many cases, however, the program developer may be forced to allocate resources experimentally before the best "mix" of activities or elements becomes apparent.

12. Preparing the Decision Package (Interim).

a. The approval of the elements of the program is a decision point in the program development process. Thus, the product of the detailed planning steps discussed here should be a decision package which will enable decision-makers to assess the acceptability, feasibility, effectiveness, cost and evaluability of the proposed program elements.

b. The decision package should contain materials developed at several stages of the

See next page for copy of one element only

program development process. For each element of the program the decision package should include:

- The strategic goal statement under which the element was developed.
- A brief description of the proposed element.
- The objective or objectives to be achieved by the element.
- A description of the inputs, activities and results under the element.
- A network of the element.
- A cost estimate for the element.
- An assessment of the advantages and disadvantages of the proposed element, and
- A description of how the element fits into the rationale of the strategy under which the element was developed.

c. Each of these parts of the decision package has been developed in one of the preceding steps in the program development process.

- The strategic goal statement was prepared in Module III when all of the program's strategic goals were developed.
- The proposed element was identified in Module IV in the development of alternative strategies or in this module during the initial expansion of the list of proposed elements.
- The objective or objectives of the element was developed in this module on the basis of the details of the element:
  - the inputs, activities and results, and
  - the element network
- The cost estimate should come from the cost estimate step discussed in this lecture,
- The assessment of the advantages and disadvantages should come from the assessment of the strategy carried out in the preparation of the strategy selection decision package and the assessment of both the internal and systems' impact of the element, and
- The rationale should come from the assessment of the logic of the strategy conducted in Module IV.

d. In preparing the full decision package, the program developer should consider the work completed to this point as being only preliminary to a further step in the process.

- Having worked at the level of individual elements the program developer must now come back up to the level of the program

Notes and Comments

An example of a full decision package is included in the Student Guide.

This is why this is called an Interim Decision Package.

Notes and Comments

to see how the individual parts will fit together to accomplish the strategic and normative goals of the program.

13. Summary and Review.

a. In this module we have taken the program development process from a set of strategic goals and possible strategies to a detailed plan to implement the strategic and meet the strategic goals.

b. In this module we have discussed the following topics:

- The role of the program developer in designing the details of the program's strategies
- The development of elements under each strategy
- The design of the details of program elements
- The assessment of the elements impact on both the existing system and of the activities of the element on each other
- The development of a network and schedule for each element
- The development of objectives
- The development of a cost estimate
- The preparation of a decision package that summarizes the work completed to this point.

Notes and Comments

This is covered in Module VI

c. In the next module we will focus on the integration of the different program elements, and on the evaluation and management of the program itself.

Notes and Comments

Module V: Planning the Details of Program Strategies
Segment D: Workshop on Planning the Details of Program Strategies, Part 2.

Notes and Comments

INSTRUCTOR GUIDE

1. Introduction

   a. You are now ready to complete the Implementation Plan you began in the last workshop segment.

   b. In this workshop you will complete the following steps:

      - Identifying and assessing the impact of an element on other parts of the criminal justice system.
      - Identifying and assessing internal impacts within an element.
      - Preparing a network of the element.
      - Develop objectives for the element, and
      - Develop a budget for the element.
      - Prepare a presentation following the format of the full decision package.

   c. For this workshop the participants should have:

      - Their Student Guide
      - The Problem Statement
      - The materials developed earlier in previous workshops

2. You may now break out into your groups.

   a. Your facilitator has detailed instructions on each step as does your Student Guide. Take it with you.

Notes and Comments

   b. You will have 3 hours before we reconvene to hear your plans. (Give them a time to return to the classroom)

Module V: Planning the Details of Program Strategies

Segment D: Workshop on Planning the Details of Program Strategies, Part 2.

Notes and Comments

FACILITATOR'S GUIDE

1. Introduction

   a. In this workshop the participants will be given an opportunity to practice the steps in the program development process relating to

      - Identifying and assessing the impact of an element on other parts of the criminal justice system,
      - Identifying and assessing the internal impacts within an element,
      - Preparing a network of the element,
      - Developing objectives for the element,
      - Developing a budget for the element

2. Preparations.

   a. For this workshop the breakout area should be equipped with a blackboard or flipchart, marker pens, or chalk, and tape to mount pages on the wall.

      - The participants should also have a packet of 3" x 5" cards to be used in preparing the network of the element in Step 3.

   b. The participants should have brought with them:

      - Their Student Guides
      - The Problem Statement, and

Notes and Comments

      - The materials developed for the presentation in previous workshops

   c. The materials prepared earlier include:

      - The normative goal statement,
      - The list of strategic goals, including the goal assigned to the group,
      - The list of possible strategies developed by the group, including the strategy assigned for further development,
      - The rationale of the strategy assigned to the group,
      - The list of potential elements under the strategy,
      - The strategy assessment,
      - The citations in the Problem Statement relating to the assigned strategic goal,
      - The list of problem components relating to the assigned strategic goal, and
      - The lists of the inputs, activities and results of the element selected for further development.

3. Specific Instructions.

   a. The workshop will be carried out in six steps:

      - Step 1. The participants will identify, assess and take steps to accommodate the <u>impact of the element on the existing system</u>. (30 minutes).

- Step 2. The participants will identify, assess and take steps to accommodate the internal impact of activities within the element. (30 minutes).
- Step 3. The participants will prepare a network for the element, indicating the sequence and duration of each activity, and the dates when activities will start and end. (45 minutes).
- Step 4. The participants will develop objectives for each of the activities under the element. (30 minutes).
- Step 5. The participants will develop a budget for the element. (30 minutes).
- Step 6. The participants will prepare a presentation following the format of a full decision package. (15 minutes).

b. Total time for the workshop is 3 hours.

4. Step 1. Identifying and Assessing System Impacts.

a. The participants should mount the sheet prepared in the earlier workshop listing the inputs, activities and results of the element.

Notes and Comments

See Facilitator's Note.

Facilitator's Note

This step is related to the lecture discussion on identifying system impacts. The workshop has been simplified so that only those impacts inside the CJ system need to be considered. This was done because:

- The participants were not given information on external problems or constraints, and
- To save time.

Notes and Comments

b. The participants should mount a second sheet headed System Impact Matrix near the first sheet.

c. The participants should refer to the Problem Statement and locate the agencies listed on Table 4 on page 9 .

- Each of these agencies should be listed across the top of the second sheet.
- The participants may wish to abbreviate the agency names (e.g., Farmington Volunteer Fire Department: FVFD).

d. The results listed on the first sheet should be numbered or assigned an identifying letter (A, B, C, etc.). These identifying numbers or letters should be listed along the left-hand margin of the second sheet to create the matrix arrangement.

e. The participants should then proceed to cross-reference each result with each agency and, referring to the functions performed by each agency (listed on Table 4 in the Problem Statement) determine what impact that result would have on the agency. The participants should ask:

Notes and Comments

- How is this agency, or agency function currently affected by the problem?
- How does this agency or its functions currently affect the problem?
- How will this result affect the agency or its functions?

f. If the participants identify an area where a result of an element's activity will have an impact on the agency, or one of its functions, the impact should be noted and recorded, either on the matrix or on a separate sheet.

g. After all impacts have been identified the participants should assess the nature, and if possible, the magnitude of the impact and devise appropriate measures to accommodate the impact.

- The participants may wish to add a new activity to the list
- The participants may wish to revise or delete existing activities
- If any activities are added, revised, or deleted the participants should also add to, revise or delete the input and activity lists as appropriate.

5. Step 2. Identifying and Assessing Internal Impact.

Notes and Comments

a. The participants should prepare a third sheet headed Internal Impact Matrix and mount it near the first sheet (the list of inputs, activities and results).

b. Across the top of this sheet, (below the heading) the participants should list the numbers or letters used to identify the results of the element. These same identifiers should then be listed along the left-hand margin of the page to create the matrix arrangement.

c. The participants should then proceed to cross-reference the results in a systematic, pair-wise manner and identify possible internal impact between the results. The participants should ask:

- How will this result affect the other results of this activity?
- Does this result conflict with some other result?
- Does this result reinforce or assist in the accomplishment of some other result?
- Is some other result dependent on this result?

d. As internal impacts are identified they should be noted on the matrix or on a separate sheet.

Notes and Comments

e. After all internal impacts have been identified the participants should devise appropriate measures to accommodate them, i.e. adding, deleting or revising the activities, inputs and results.

6. Step 3. Preparing a Network of the Element.

a. On the 3" x 5" index cards provided, the participants should copy the activities listed on the first page as revised -- one activity per card.

b. The participants should array the cards and determine the appropriate sequence of activities by group consensus.

c. When the sequence has been determined the group should then estimate how long it will take to complete each activity. This should be noted on the cards.

- Activities that will be carried out throughout the life of the program should be identified first.
- Duration is an issue only for those activities that will be carried out for a fixed period -- very often those activities carried out during the "start-up" phases of the element.

d. The participants should next select an appropriate time scale for the element

Notes and Comments

(i.e., days, weeks, months) and prepare a time-line in that scale on which the network will be arrayed.

- The participants may wish to tape two or three sheets of flipchart paper together to form the time-line, and array the cards on the sheets lying flat on a table or the floor.

e. The participants should then arrange the cards on the time-line in the appropriate sequence and showing the duration of each activity.

- The participants should follow the format demonstrated in the lecture and shown in the Student Guide on pages V-C-4b & V-C-12.

f. The participants should then tape the cards permanently to the time-line sheets and draw in the connectors and lines to complete the network.

7. Step 4. Developing Objectives.

a. The participants should prepare a sheet headed Objectives.

b. The sheet should be divided into two columns headed Results and Indicator respectively.

c. The participants should identify each result with a letter or number identifier,

Notes and Comments

and list these identifiers along the left-hand margin of the page.

d. For each result the participants should select an observable indicator and list the indicator under the appropriate column opposite the activity identifier.

e. From the results column on the sheet developed in the previous exercise (the sheet listing the inputs, activities and results), as revised in previous steps, the participants should estimate the expected level of performance on the activity.

- Example: If the activity involves "providing inservice training to arson investigators" an indicator might be "number of investigators trained" or "hours of training provided." The level of performance might then be "six fire investigators trained," or "200 hours of training provided."

- The participants should refer to the Problem Statement to determine the level of performance that could or should be attained.

- If the participants estimated the magnitude of results in the previous workshop, this step would consist only of translating these results into the form of the observable indicator.

f. Referring to the network and the sheet first prepared, the participants should draft a statement describing each objective in terms of:
   - Indicating the level of performance to be attained,
   - Expressed in the form of an observable indicator, and
   - Indicating the time-limit for reaching the level indicated.

8. Step 5. Developing a Budget for the Element.
   a. The participants should prepare a sheet headed Budget.
   b. The sheet should be divided into two columns headed Level Needed and Amount respectively.
   c. The participants should identify each of the inputs on the original list, as revised, with a letter or number. These identifiers should be listed along the left-hand margin of the page.
   d. By referring to the level of performance expected for each activity the participants

Notes and Comments

See Facilitator's Note.

Facilitator's Note

In this step do not permit the participants to "make up" performance estimate without some reasonable basis. That is, the participants should be prepared to justify estimates to the group if they choose to make guesses about how well any one activity will be performed.

Notes and Comments

should estimate the level of resources needed for each input.

- Example: If the activity of "providing training to fire investigators" was found to require inputs such as "instructors, training materials, and classroom space" the participants should estimate the level of each of these inputs needed (e.g., one instructor, six copies of training material, one classroom, etc.).

e. Referring to the network for the element the participants should determine for how long these inputs will be used or needed and estimate the total cost for each.

- The cost figure should be inserted under the Amount column opposite the input.
- If the participants do not wish to commit themselves to a dollar estimate, they may substitute the equivalent resource level estimate.
- Example: "two instructors for two months" instead of "salary for instructors -- $6,000."
- The participants should be prepared to justify their estimates before the group.

Notes and Comments

9. Step 6. Preparing the Presentation.

a. The participants should prepare a presentation following the format of the full decision package.

- The group will be given 15 minutes to make their presentation.

b. The presentation should contain the following sequence:

- The presentation of the strategic goal under which the element was developed,
- The presentation of all elements under the strategic goal, and the identification of the element that was fully developed,
- A description of the element and how it fits into the rationale of the strategy, i.e., how it contributes to the accomplishment of the strategic goal,
- A description of the inputs, activities and results of the element, as revised,
- A presentation of the network of the element
- A presentation of the objectives to be achieved under the element,
- A presentation of the cost of the element, and
- An assessment of the advantages and disadvantages of the element based on the assessment of the system impact.

c. After the presentation has been prepared the workshop is completed.

Notes and Comments

LECTURE NOTES

1. Introduction

   a. We will now hear what each group has accomplished in its workshop.

      - Each group will have 15 minutes to present its work.

   b. During the presentations you should take careful note of the details of the individual plans.

   c. Tomorrow (or in the next Module) the groups will be broken up into (2-3) committees to draw together the individual elements into an integrated program plan.

      - To assist in this process take notes of any parts of the other plans that might affect your own plan.

2. Example of Acceptable and Desireable Products.

   a. Step 1: Identifying and Assessing System Impacts

      - Continuing the example in previous exercises, the following diagram presents the systems impact matrix.

Agencies and Organizations

(From p. 9 of the Problem Statement)

Results (From MOR)	Fire Departments	Police and Sheriffs Departments	Prosecutors Office	State Fire Marshalls Office	Bureau of Human Resources	Youth Bureau	Hospital Burn Unit	State Attorney Generals Office	State Insurance Commission
• Agreement with School Authorities	none	none	none	none	none	none	none	none	none
• A classroom course on arson consequences and prevention	A	B	C	D	E	F	G	none	none
• A series of classroom presentations	H	I	J	none	K	L	M	none	none

Notes and Comments

- Explanation of possible cross impacts are:
  - A. Fire departments should be solicited for background information in designing course
  - B. Similarly, police departments should also make input on the course
  - C. Same for Prosecutor's Office
  - D. The State Fire Marshalls' office should be contacted for data on arson Statewide as further background for the course.
  - E. The Bureau of Human Resources should be contacted for background on the secondary consequences of arson
  - F. The Youth Bureau should be contacted for information on programs for youths arrested for arson
  - G. The Burn Unit should be contacted for information and background material on the physical effects of fire
  - H,I,J,K,L,&M. Each of these agencies should be contacted to provide instructors for the classroom course--possible impact on their manpower. In addition, if the course is effective, it may result in decrease in arson-related workload.
- Additional <u>activities</u> generated by this analysis include:
  - Contact local arson control agencies and agencies with arson-related functions for background information and materials
  - Contact (above) agencies for possible instructors for the course
- Additional <u>inputs</u> would be someone to make the above contacts and collect the necessary infromation and materials

b. Step 2: Indentifying and Assessing Internal Impact.

- The matrix for the above example is shown below.

Notes and Comments

	Results	Results 1	Results 2	Results 3
1.	Agreement with School Authorities	none	A	B
2.	A classroom course	C	none	D
3.	Classroom presentations	E	F	none

- The explanation for the cross impacts are:
  - A,B,C,&E. All work on the proposed course is contingent on the agreement with the school authorities. The program developer should consider whether a certain amount of development work should be done before approaching school authorities in order to give them an idea of the course's content.

Notes and Comments

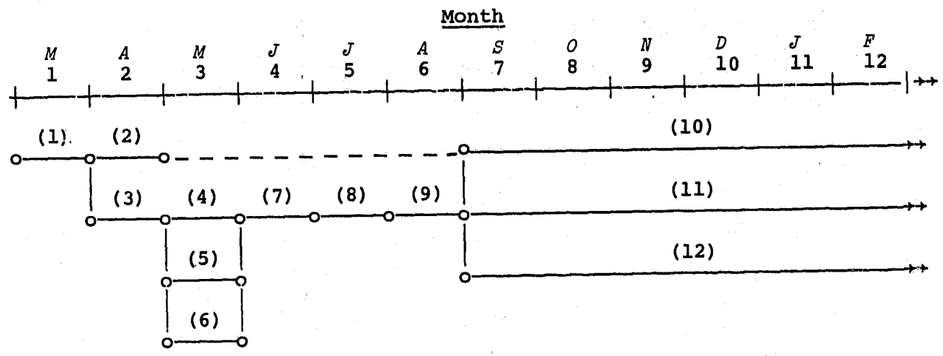
- D&F. The content, length, and method of delivery will affect when and how often the course can or should be presented. These two factors will be coordinated.

e. Step 3: Preparing a Network of the Element.

- The full list of activities identified to this point with the time estimate and sequence are:
  1. Persuade and orient school authorities to accept course (1 month)
  2. Coordinate presentations with school year schedule (1 month)
  3. Establish course content (1 month)
  4. Develop curriculum and course materials (1 month)
  5. Contact arson-related agencies for information and materials (1 month)
  6. Contact arson-related agencies for possible instructors (1 month)
  7. Recruit instructors (1 month)
  8. Train and orient instructors (1 month)
  9. Test and revise curriculum (1 month)
  10. Schedule classroom time (on-going)
  11. Schedule instructors (on-going)
  12. Conduct presentations (on-going)

Notes and Comments

- The network for this element is shown below for the first year:



- Analysis of the network indicates that the element must be implemented starting in March in order to begin classroom presentations in September at the start of the school year.

d. Step 4: Developing Objectives

- Reasonable indicators of performance for this element would be:
  - A written agreement with school authorities
  - A completed course curriculum package
  - The number of classroom presentations given
  - The number of students receiving the classroom presentation

Notes and Comments

- Reasonable objectives for this element would be:
  - A completed written agreement with school authorities by April 1, 198_
  - A completed curriculum package by September 1, 198_
  - "X" classroom presentations completed by the end of February, 198_
  - "X" students receiving classroom presentations by the end of February, 198_

e. Developing a Budget for the Element.

- The inputs identified for this element are:
  - a person to schedule classroom time and coordinate instructors
  - instructors
  - supplies and course materials
  - a person to establish course content
  - a person to develop, test, and revise the course curriculum
  - a person to recruit, train, and orient instructors
  - a person to coordinate the presentations with the school authorities
  - a person to present the proposal to school authorities and persuade them to cooperate
  - a person to contact the relevent arson control agencies

Notes and Comments

- There is obvious room to collapse these inputs and assign them to a single person or at most, perhaps two persons: a full-time coordinator and someone to develop, test, and revise the curriculum.
- The completed product would look like this:

Level needed	Amount
1 full-time course coordinator	12 months x salary + expenses
1 full-time course developer	6 months x salary + expenses
"X" part-time instructors	6 months x salary + expenses
"X" sets of training materials	Cost

3. Presentations

a. During the presentations the faculty should challenge the group to justify any assumptions it has made regarding levels of performance, costs or other aspects of the element.

b. The other participants should also be asked to make comments or ask questions about the material presented.

- This should be encouraged if there are apparent areas where two or more elements are likely to overlap.

Notes and Comments

- The refinement of the details of an element requires the program developer to consider:
  - how the element will affect the existing system
  - how the system might affect the element
  - how the system could be used to implement the element
  - how the internal results of the element will affect each other
  - the schedule for the element
  - what reasonable levels of performance for the element are
  - the overall cost of implementing the element
- We attempt to determine how the element will or should relate to the existing system in order to anticipate possible conflicts between the system and the element and to find ways of integrating the element into the existing system.
- We attempt to determine internal impact because the different results of the element may work at cross purposes to each other, or may be dependent on each other.
- We develop a schedule and network in order to locate the element in real time and identify possible bottlenecks or unreasonable deadlines before they occur.

Notes and Comments

- We develop objectives in order to help both implementors and evaluators appraise the performance of the element as it is in operation and before the longer term impact could be observed.
- We established the cost items for the element as the first step to developing a budget. In this exercise the task was only to estimate the level and amount of resources needed. In a real program development effort the next step would be to attach actual dollar amounts to those resources.
- Having worked through the details of the individual elements, the next step will be to integrate the elements into a coherent whole.

c. In the next workshop the details of the individual elements will be used to develop a final work plan which can be used by managers and evaluators.

d. Also, any changes found to be needed as a result of the coordination of the elements will be incorporated into the decision package.

End of workshop

Module 6

PREPARING FOR PROGRAM IMPLEMENTATION AND EVALUATION

Outline of Module VI

Preparing for Implementation and Evaluation

Segment A

1. Review and Introduction
2. The Role of the Program Developer in Preparing for the Implementation and Evaluation of a Program
3. The Importance of Integrating the Elements of the Program
4. Integrating Elements
5. Insuring that the Program is Implemented as Intended
6. The Concept of the Key Event
7. Identifying Key Events
8. Using Key Events in the Management of the Program
9. Using Key Events in the Evaluation of the Program
10. Summary and Review of the Course

Module VI. Preparing for Program Implementation and Evaluation

Segment A

INSTRUCTORS GUIDE

Notes and Comments
Visual I-C

1. Review and Introduction.

   a. To this point in the program development process, we have completed a substantial portion of the work necessary to insure that:

      - The problem is correctly understood,
      - The strategic goals of the program reflect the important components of the problem,
      - The strategies are logical approaches to the attainment of the strategic goals,
      - The elements of the strategies are effective, feasible, acceptable, evaluable and economical, and
      - The details of the elements have been specified in terms of inputs, activities, schedules, objectives, budget, and internal and external impact.

   b. However, before the program can be implemented, the program developer must step back from the details of individual elements and once again view the program as a whole.

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- This means that the program developer must build on the work that has been completed and approved to this point, and if necessary, add new elements to the design of the program.

c. In this module we will discuss the following topics:

- The role of the program developer in preparing for implementation and evaluation.
- Integrating the elements of a program.
- The concept of the key event.
- Preparing the full decision package.
- Using key events in the management of the program.
- Using key events in the evaluation of the program.

2. The Role of the Program Developer in Preparing for the Implementation and Evaluation of a Program.

a. After the approval of the individual elements or a set of elements that constitute a strategy, the role of the program developer shifts from one of a designer and planner to one of a coordinator and facilitator.

- As a coordinator, the program developer should attempt to identify those linkages between the elements of the program that will insure that they work together to address the problem.
- As a facilitator, the program developer should attempt to develop guidelines necessary to insure that the program will be carried out as intended.

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b. Once the overall implementation plan has been approved, the program developer may be directly involved in the implementation of the program. The program developer may be responsible for:

- Carrying out certain elements of the program
- Providing technical assistance to the implementors
- Managing the overall program
- Monitoring or evaluating the program
- Making or advising on future decisions about the continuation or revision of the program.

c. In any or all of these roles, the program developer should have a grasp of the purpose, design, and intended implementation of the program in terms of its parts and as a whole.

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d. The final product of this step in the program development process is a full decision package which provides the following information to decision-makers:

- The normative goal statement;
- The problem summary;
- The important components of the problem,
- A listing of the strategic goals;
- An overview of the strategies under each strategic goal;
- A listing of the elements under each strategy;
- The strategy rationales; and
- An assessment of the program with appropriate recommendations.

e. This material, along with the decision packages developed for each of the elements in the previous module, would be presented to decision-makers for a final determination:

- It is at this point that the program's strategic goals are finally approved and the shape and approach of the overall program is approved.

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3. The Importance of Integrating the Elements of the Program.

a. The separate elements of the program represent discrete and sometimes narrowly focused parts of an overall plan.

b. Unless these elements are integrated and coordinated, they may tend to drift apart and become independent, small scale efforts with no purpose beyond the immediate objectives they are committed to accomplish.

c. Example: A classic example of this phenonmenon is a community crime prevention program which had as one of its elements the organization of neighborhood groups to work to prevent crime. After several months the neighborhood organizing element became the primary focus of the program. Eventually, the staff responsible for neighborhood organizing was captured by a major political organization, and the crime prevention goals of the program were completely abandoned.

d. By integration of the elements we mean that necessary linkages between elements are created so that the activities of one element can be coordinated to work with the activities of other elements.

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- Example: If one element of a program involves providing information to the public about the availability of transportation services to witnesses and another element involves a public campaign to make citizens more receptive to testifying in court when called, there is an obvious area where the two elements could work together.

e. By integration of elements we also mean preventing conflicts between elements.

- Example: Very often efforts to create cooperation between different organizations are complicated by long-standing rivalries or the fact that there is a degree of overlap in functions among two or more agencies (e.g., municipal police departments and county sheriff's police).

f. The program developer in his role as a coordinator should help to create the linkages and head off the potential conflicts in the program by integrating the different elements of the program into a coherent whole.

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4. Integrating Elements.

a. Elements of the program can be integrated by:

- Identifying areas where the activities of two or more elements could be combined or shared.
- Identifying areas where the activities of two or more elements must be coordinated for one or both to operate effectively.
- Identifying areas of potential conflict between elements.

b. One technique for identifying these areas where elements could or should be integrated is to bring the persons responsible for or knowledgeable about the elements together to discuss the topic:

- The Nominal Group Technique could be applied here effectively.

c. A second approach would be for the program developer to create an Element Integration Matrix, similar to the device used in Module V to identify the internal and external impact of an element.

- We will practice this technique in the concluding workshop.

- Under this technique, the activities of the different elements would be arrayed on the matrix and the areas of potential co-operation, coordination or conflict would be identified by examining pairs of activities.

d. Once areas of integration have been identified the program developer should create or propose appropriate remedies, such as:

- Combining or sharing staffs or resources among different elements.
- Creating an advisory group made up of representatives of individual elements to coordinate activities.
- Drafting cooperative agreements among agencies to spell out areas of cooperation and jurisdictional responsibility.
- Creating new elements for the sole purpose of fostering cooperation and coordination (e.g., internal newsletter, periodic meetings, joint planning sessions).
- Creating formal or informal relationships among persons working in different elements of the program.

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Note to the participants that they completed a similar step earlier within their individual elements. In this step they are assessing cross-impact between elements and strategies.

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5. Insuring that the Program is Implemented as Intended.

a. In his or her role as a program facilitator, the program developer should also attempt to insure that the program is carried out as intended.

- The program developer should recognize that after a program is implemented, the program may change in the way certain activities are carried out or the way resources are allocated.
- However, the program developer has an obligation to insure that the strategic goals of the program, and the strategies developed to meet those goals, are followed within reasonable limits.

b. Question to the Participants. Ask the participants if they know about or have worked on programs where the original goals and strategies were completely ignored after program was initiated. — Class discussion

c. The two primary means by which a program can be kept on track with respect to its strategic goals and strategies are:

- Through the way the program is managed, at the program or the element level.
- Through the evaluation and monitoring of the program.

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d. A conceptual device which will help the manager and the evaluator/monitor is called key event analysis.

6. The Concept of the Key Event.

a. In any large-scale undertaking, such as a program, there are some aspects that are relatively more important to the success of the effort than others. In the context of program development, these aspects of a program are called key events.

b. Key events are important in program development in that they should be the focus of attention of managers and evaluators.

- A manager/evaluator cannot observe or monitor all aspects of a program with the same degree of attention. Key events provide a method whereby the manager/evaluator can know which parts of the program should receive the greatest amount of attention.

c. A key event might occur at any point and at any level in the program.

- A key event might be a single activity within an element, or a set of elements under a strategy.

d. The principle which determines whether some part of a program is a key event is not its

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size or the amount of resources devoted to its implementation. The factor which determines that an activity or an element is a key event is its importance to the success of the program's strategic goals.

7. Identifying Key Events.

a. Key events may be identified by:

- Reviewing the design of the program or of individual elements and identifying those inputs, activities or results that appear to play a major role in the way the program will operate;
- Examining the networks and schedules of the program, and identifying those places where two or more activities or elements intersect;
- Identifying the mechanisms created to coordinate or create cooperation among the elements (these mechanisms are key events almost by definition);
- Negotiating with persons who may be involved or have a stake in the implementation of the program. (This is another place where NGT could be used).

b. The program developer can also identify key events in a program by reviewing the assess-

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ment of the logic of the strategy carried out in Module IV. • In that step, we identified the <u>assumptions</u> behind the strategy and attempted to determine how reasonable those assumptions were. • The assumptions were stated in the form, "If the program does A, B and C, then the strategic goal will be achieved." • <u>Example</u>: If the program provides training to police officers, and the officers understand and accept what is taught, and they have the time, means and motivation to use what is taught, then police officers will write better reports.	Ask class to select possible key events and discuss before giving them the ideas in "d" below.
c. Now that we have designed the program elements to implement the strategy, the program developer should identify those parts of the program that were intended to fulfill the logic of the strategy.	
d. <u>Example</u>: The key events of the police training example would be those events that were designed to insure that the police officers received the training, understood what was taught, and had the time, means and motivation to carry out the instructions. • If <u>any one</u> of these conditions were not met, or were met for only a few persons,	

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this particular element would not succeed in meeting the strategic goal.	
8. Using Key Events in the Management of the Program.	
a. The manager of a program can use the identified key events of a program to: • <u>Select</u> implementors to carry out the design of the program • <u>Inform</u> those implementors how the program or its elements should be carried out, and • <u>Guide</u> the activities of implementors after the program is under way.	This is the first of two ways to use them, management and evaluation.
b. Key events provide a means of determining what the qualifications of an implementor should be. • <u>Example</u>: If the strategy of providing training to police officers to improve the qualify of reports assumes that the training must be understood and accepted by the police officers, that knowledge suggests that whoever is hired to provide the training must be able to communicate effectively with police officers and maintain credibility with them during the training.	
c. Key events enable the program developer to focus on the critical requirements of the activities the implementor will be expected to	

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perform. These requirements can then be translated into criteria against which to assess various possible implementors.

- Example: Given a choice between two instructors for the police training element of the program, the program developer might prefer an experienced police officer with special preparation in the area of report writing over an outside instructor with academic training in report writing.

d. Key events also inform implementors about what is important in their particular part of the program.

- Example: The implementor should know that it is important that the counselors he or she hires to provide job counseling to ex-offenders are qualified to provide this service. Without this information, the implementor might substitute untrained college students or anyone else who could be labeled a "counselor".

e. Key events enable the program developer to specify the special requirements that an implementor should be prepared to carry out as a condition of participating in the program.

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f. Finally, key events help managers of programs guide their activities after the program is underway.

- Example: If the manager knows that follow-up is critical to the success of the job placement element of the program, he or she can quickly focus on that particular activity and insure that it is carried out as intended.

g. Key events enable the program developer to identify areas where implementors may need special help and arrange for appropriate Technical Assistance in those areas.

9. Using Key Events in the Evaluation of the Program.

a. The second use of key events is to insure that programs remain on track through proper program evaluation.

b. Program evaluation is different from project evaluation in that the evaluator must work at a higher plane and must apply a different order of criteria in determining the efficiency and effectiveness of the program.

- The program evaluator must still evaluate how well each element of the program operates and the impact that element may have. However, the program evaluator must also

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determine how the elements of the program, working together, contribute to the accomplishment of the program's strategic goals.

- It is possible for each of the individual elements of the program to work correctly, but for the program as a whole to fail. (Of course, if the program developer has followed the steps of the process described here, this possibility should have been minimized.)
- Question to the Participants. Ask if any of the participants have had experience with, or know of, a program that failed despite the fact that its individual elements all succeeded.

Class discussion

c. Evaluators usually distinguish between two levels of evaluation:
   - Process evaluation, in which the primary focus is on the way the program operates and its success in achieving its objectives; and
   - Impact evaluation, in which the focus is extended to a determination of how the program affected the problem being addressed.

d. The selection of one or both of these two levels of evaluation will depend on:

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   - The needs and interests of decision-makers, and
   - The degree of certainty or uncertainty about either the process or the probable impact of the program.

e. In a process evaluation, key events help the evaluator focus on those critical internal processes that should lead to the accomplishment of the strategic goals, according to the logic of the strategies being implemented.
   - Example: Knowing that acceptance of the training by police officers is a critical assumption (key event) of the program, the evaluator can focus on determining how well police officers accepted the training.

f. In an impact evaluation, key events help the evaluator draw the necessary linkages between what the program did and the level of impact that was observed.
   - Example: If the quality of police reports improved because of the training, the evaluator would then focus on the extent to which improved police reports contributed to improvements in the conviction rate of prosecutors.

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10. Preparing the Final Decision Package.

a. Once the program developer has identified areas where the elements of the program should be integrated and has identified the key events of the program, the final step is to prepare a decision package for a final approval of the strategic goals and the substance of the program.

- If the program developer has kept the decision-makers appraised of the progress and direction of the development process, there should be very few suprises in this decision package.

b. At this point there should be a minimum of "tinkering" with the details of the program; decision-makers should focus on the broader issues relating to:

- The current and generally accepted understanding of the problem,
- The appropriateness and adequacy of the strategic goals and strategies, and
- The overall feasibility of the implementation plan to carry out the strategies.

c. The decision package should contain the following materials:

- The normative goal statement for the problem area,
- A summary of the problem, as it is understood,

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- The important components of the problem derived from the Problem Statement,
- The strategic goal statements that formed the basis for the more detailed planning,
- An overview of the strategies developed to meet the strategic goals,
- The elements intended to implement the different strategies,
- The rationale for each strategy--the logic and assumptions behind the strategies, and
- An assessment of the strategies and a set of recommendations concerning the integration; implementation, and evaluation of the program.

d. To this material, the program developer should append the individual element decision packages as back-up documentation; this material was developed in the previous step in the process in Module V and was revised as necessary in this Module.

11. Review of the Module.

a. In this module, we have completed the final steps in the program development process. We have discussed:

- The role of the program developer in preparing for the implementation and evaluation of the program;

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- Integrating the elements of the program;
- The concept of the key event;
- Using key events in the management of programs;
- Using key events in the evaluation of the program; and
- Preparing the final decision package.

b. In the workshop which follows you will complete the program development process by carrying out these remaining steps.

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LECTURE NOTES

1. Introduction.

   a. We are now ready to begin to put the program together into a single coherent package.

   b. Each group has worked independently up to now.

      - We are all generally aware of what the other groups have proposed to do.
      - However, we do not yet have an overall perspective of how all the individual elements of the program fit together.
      - This program-level perspective is what we are going to develop in this final workshop of the course.

c. We have three major tasks to complete.
   - Integrating the individual elements into a coherent package,
   - Identifying those key events that will guide the management and evaluation of the program,
   - Preparing a final decision package.

d. The first task--integrating the individual elements--is necessary because:
   - Large-scale programs are seldom planned by single individuals or even a single group of individuals, and
   - When planning is divided among different persons or groups there are bound to be

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significant conflicts, inconsistencies or gaps between their plans.

e. The second task--identifying key program events--is necessary in order to insure that the programmatic concerns which were built into the elements are carried out when the program is implemented, and are reflected in the program evaluation.

f. The third task will be to prepare a presentation following the format of the final decision package discussed in the lecture.

2. Workshop Process.

a. For this final workshop we are going to break up your original work groups and create (3-4) new groups made up of persons from each of the previous groups.

- You will be responsible for representing your original group in this new group.
- Your job will be to clarify and explain what your plan intends to do and how it is to do it.

b. The first responsibility of these new groups is to reconcile any conflicts, inconsistencies or duplications in the individual plans by:

- Changing, deleting, or consolidating specific activities of the elements.

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- Reassigning responsibilities for specific activities, or
- Creating new elements or activities to coordinate the elements or head-off possible conflicts.

c. The second responsibility of these new groups will be to identify the key events in the program that should be of the greatest concern to program managers and evaluators.

d. This work will then form the basis for the group's presentation of the overall program.

e. Each new group should have a copy of the following materials developed in the previous workshops:

- The complete list of all <u>inputs, activities and results</u> for each of the elements,
- The <u>rationale</u> of each groups strategy, and
- The list of <u>assumptions</u> behind each strategy.
- These materials have been copied and should be available to each group.

f. I will now assign each of you to a new group. See Instructor's Note

- Additional instructions will be given by facilitators when these groups convene.

INSTRUCTOR'S NOTE

You should point out to the participants that in a real program development effort there may be more integration of effort throughout the process, thus making it less necessary to formally integrate the program as a final step. On the other hand, in a large program development effort, where teams have been established to work on individual areas, this final coordinating step may be very real. In either case, the steps outlined here need to be accomplished if the program is going to be given its best chance of meeting its goals.

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Module VI
Segment B: Workshop

FACILITATOR'S GUIDE

1. Introduction.
   a. The purpose of this workshop is to allow the participants to practice some of the steps discussed in the lecture relating to:
      - Integrating the elements of the program,
      - Identifying key events to guide program managers and evaluators, and
      - Preparing the final decision package.
   b. The original work groups will be broken up and mixed so that the new groups each contain two to three members from each of the other groups.
2. Preparations.
   a. This workshop will require some additional preparation on the part of the facilitator. This is due to the fact that the original groups have been mixed, and that each of the new groups will need copies of materials developed in previous workshops.
   b. As noted in the Facilitator Notes in Module IV, the facilitators should have made additional copies each of the strategy rationale and of the list of assumptions developed in the workshop in IV-B.

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- These copies should follow the format used by the original groups.

c. At the end of the workshop in Module V-D, the facilitator should have also made <u>two copies</u> each of the <u>list of inputs, activities and results</u>, as revised, in that workshop.
   - These copies should also follow the format used by the original groups.
   - The facilitators should check the copies to make certain that all changes made by the participants are accurately reflected.

d. A copy of each of these materials should be available to each of the groups at the beginning of this workshop.

e. The breakout area should also be equipped with a flip-chart or a blackboard, chalk, or marker pens.

3. Specific Instructions.

   a. The workshop will be carried out in three steps:
      - <u>Step 1</u>. The participants will <u>integrate</u> the elements they developed in the previous workshops,
      - <u>Step 2</u>. The participants will identify <u>key events</u> in the program, and

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- <u>Step 3</u>. The participants will prepare a final presentation following the format of the final decision package.

   b. Following the last step, the group will present its work and participate in a final debriefing.
      - Each group will be given 15 minutes to make its presentation.

4. Step 1. Integrating the Elements. (1 hour)

   a. The three sheets indicating the inputs, activities and results of the three elements should be mounted in front of the group, where all members can clearly see them.
      - The participants should assign letter identifiers to the three listings to make it easier to refer to them during the discussion (e.g., Group A, Group B, Group C.)

   b. An additional sheet should be prepared, headed <u>Element Integration Matrix: Group A x Group B</u>.
      - Across the <u>top</u> of the new sheet, beneath the heading, the participants should list the identifiers for each of the activities on Group A's list.
      - Along the <u>left-hand margin</u> of the new sheet, the participants should

Following the presentations, the facilitators should collect and evaluate the final products before conducting the final debriefing.

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list the identifiers for each of the activities on Group B's list.

- This forms the matrix to identify possible areas of integration between Group A's element and Group B's element.

c. The participants should then proceed to identify areas of possible integration between the two elements by cross-referencing pairs of activities.
   - All members of the group should be encouraged to participate, not just those in the two groups whose elements are being discussed.

d. In identifying areas of integration, the participants should ask:
   - Could these activities be combined or shared?
   - Do these activities overlap?
   - Could these activities conflict with each other?
   - Is one activity dependent on the other?
   - Should these activities be coordinated?

e. As areas of possible integration are identified, they should be noted on the matrix or on a separate sheet.

f. When all areas of integration have been

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identified, the group should develop appropriate ways of responding:
   - Adding new activities to one or both elements;
   - Deleting or revising activities.

g. Any changes in the activities created by integrating elements should be reflected in appropriate changes in inputs and results.

h. After the group has completed integrating the activities in Group A and B's elements, the same procedure should be followed for Group A and Group C, and Group B and Group C.
   - Subsequent changes may create the need to revise earlier changes. All changes should be carefully noted.

5. Step 2. Identifying Key Events. (1 hour)

   a. The revised lists of inputs, activities and outcomes should remain mounted, and the Strategy Rationales and Lists of Assumptions should be mounted nearby.

   b. A sheet headed Key Events should be prepared.

   c. The group should first identify those key events developed in this exercise where new activities were created to coordinate, consolidate, or otherwise integrate the elements.
      - These activities should be listed on the Key Events worksheet.

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d. The group should then identify key events within each element by noting those activities that appear to be critical to the success of the element itself.

- The group should briefly review the rationale and the assumptions behind each of the three strategies which the elements are to implement. Activities designed to implement or guarantee the fulfillment of these assumptions should be identified.
- These activities should be listed on the Key Events worksheet.

e. After all key events have been identified, the group should prepare a final sheet headed Recommendations.

- The participants should review the key events identified and develop specific recommendations on how the program should be implemented and evaluated.
- The recommendations should include such factors as:
  - Qualifications or characteristics of implementors
  - Special conditions to be met by implementors,
  - Areas where technical or some other form of special assistance should be provided, and
  - Areas where evaluators should focus their attention or make a special effort to determine process or impact performance.

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6. Step 3. Preparing the Final Presentation. (one hour)

a. In the final presentation, the group will present its final recommendations on how the program is to be integrated, implemented, and evaluated, based on the work just completed, and following the format of the final decision package.

b. The final presentation will follow the following sequence:

- A brief presentation of the normative goal,
- A brief summary of the problem,
- A description of the three important components of the problem addressed,
- The three strategic goals addressing the important components of the problem,
- A brief presentation of the three strategies developed in the process,

The first five topics have been covered several times before. The emphasis should be on the remaining four.

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- A brief description of the three elements that were fully developed in the exercise,
- A review of the rationale behind each strategy, and
- An assessment of (1) how the elements implement the assumptions behind each strategy, (2) how the strategies will contribute to the accomplishment of the strategic goals, and (3) how the accomplishment of the strategic goals will contribute to the accomplishment of the normative goal.
- A description of the key events.
- A set of recommendations regarding: the qualifications or characteristics of program implementors, special conditions to be required in the implementation of the program, or areas of special interest to persons providing Technical Assistance, areas of special interest to program evaluators.

c. The group may divide responsibility for each of these parts of the final presentation.
   - The group will have 15 minutes to make its presentation.

d. After the presentation has been prepared, the workshop has been completed.

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INSTRUCTOR GUIDE

1. Introduction.
   a. We will now hear from each of the groups on the work they have completed.
   b. Each group will have up to 15 minutes to make its presentation.
2. Examples of Desireable Products.
   a. Step 1. Integrating the Elements of the Program.
      - Because only one element was developed in the example, we cannot present a specific example of how the classroom presentation could be integrated with one or more other elements.
      - Examples of possible types of integration of elements for a program would be:
        - Developing a centralized coordinating body to foster cooperation between different elements.
        - Sharing or collapsing tasks among different elements.
        - Sharing or collapsing resources to reduce duplication and get maximum output for each element.
      - The participants may initially resist efforts to integrate their elements or become upset by the inevitable blurring of the boundaries

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between elements that occur during integration. In the debriefing the facilitators should note that fact and comment on the degree to which the elements were truly integrated.

b. Step 2. Identifying Key Events to guide the Implementation and Evaluation of a Program.

- Examples of possible key events <u>within</u> the element used in this example would be:
  - The needs analysis in which the contents of the course are determined, based on the areas where juveniles should be informed about arson.
  - The timing and scheduling of the element to assure that juveniles who would otherwise set fires are reached.
  - The development and testing of the course content and materials to assure that the information presented is understood, accepted, and remembered.
- These key events were identified on the basis of the assumptions that were made when the strategy's logic was tested in Module IV.
- Examples of the <u>recommendations</u> would be:
  - That considerable care be taken to determine those areas where juveniles most need to be informed about arson.

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  - That the course be heavily targeted to schools in areas with a higher than average incidence of juvenile arson.
  - That emphasis be placed on the testing and revision process to assure that the materials are appropriate to the audience the course is aimed at. This suggests the need to recruit a course developer with experience in preparing courses for juvenile audiences, and to make this an area of special emphasis in the evaluation.

c. Following the presentations the facilitators should collect and evaluate the materials presented <u>before the final debriefing</u>.

See instructor note

3. Debriefing by all faculty members. (30 minutes)

a. During the debriefing the facilitators should note the following features of the final presentation:

- The extent to which the elements were truly integrated.
- The relationship between the key events identified and the assumptions made in the logic of the strategy for each element.
- The degree to which the elements reflect the strategies and the strategic goals developed earlier.
- The degree to which the presentations address or fail to address possible problems in the recommendations section of the presentation

Instructor Note

The final debriefing should include a critique of the work completed in the last workshop. After the last presentation has been completed the instructors should call a brief recess. During the recess the instructor and other facilitators should review the work of the groups and draw up a detailed critique of the products. The critique should focus: first, on the teaching points outlined under the debriefing points; and second, on the degreee to which the products deviate from or build upon the work done in previous workshops.

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b. Additional points to be made in the debriefing are:

- The elements of the program, by themselves, do not constitute a program.
- Only when the elements are integrated do they constitute a programmatic effort.
- The program developer must think at two levels at once:
  - How the elements will operate individually, and
  - How the elements will operate together to achieve the normative goal.

3. Review of the Course (30 minutes)

a. At this point, we can now review our steps to see how we got to where we are.

b. In Module II, we began with a problem as it was described and explained in a Problem Statement.

- We assessed the adequacy of the Problem Statement to determine whether we knew enough about the problem to develop a program.

- We also looked at the problem in the context of other competing problems to determine whether it should be addressed now, later, or ever--and how much effort to put into trying to solve it.

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c. In Module III, we used our understanding of the problem to develop strategic goals.
   - We broke the problem down into its important components, and drafted strategic goals for each.

d. In Module IV, we developed strategies to implement the strategic goals.
   - Using two different approaches--the Problem Statement and the Strategic Goal--we identified possible strategies and assessed the logic of each.

e. In Module V, we developed the elements of the strategies.
   - Starting with a list of potential elements, we expanded the list,
   - Developed the details of those elements,
   - Assessed the internal impact of the elements and the impact on the existing system.
   - We developed a network of each element,
   - Established objectives for the element, and
   - Developed a budget for the element.

f. Finally, in Module VI, we integrated the elements into a coherent program, identified the key events of the program, and prepared for the implementation and evaluation of the program.

Notes and Comments

4. Course Closing.
   a. The process described here is an ideal, and like all ideals it can seldom be achieved completely in the real world. However, the principles expressed are sound and deserve your best effort.
   b. If you can adapt any or all of these steps into your work--or even an approximation of these steps--you can be reasonably confident that the results will be worth the effort.

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U.S. Department of Justice
Law Enforcement Assistance Administration

Criminal Justice Planning and Management Series

Volume 3

Criminal Justice Program Development Course:

Participant Guide

PROGRAM DEVELOPMENT COURSE MATERIALS

STUDENT GUIDE

Module 1

INTRODUCTION TO PROGRAM DEVELOPMENT

These course materials were prepared by the American Institutes for Research, Washington, D.C., for the Law Enforcement Assistance Administration under Contract No. J-LEAA-025-78. The contents do not necessarily represent the views or the official position or the policies of the U.S. Department of Justice.

NCJRS

SEP 24 1981

ACQUISITIONS

Participant Guide

PROGRAM DEVELOPMENT COURSE

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MODULE I
Introduction to Program Development

PARTICIPANT GUIDE

TITLE: Introduction to Program Development

PURPOSE

To provide an understanding of the basic concepts relating to Program Development and to place them in the context of the overall planning process. To introduce some of the key terms used in the course. To outline the basic steps in the Program Development process and to relate those to the contents of the course. To begin a dialogue around some of the barriers and constraints to effective programmatic planning.

OBJECTIVES

At the completion of this module the participants will be able to:

- Discuss the concept of a program.
- Discuss the definition and the concept of program development.
- Describe how the Program Development Course relates to other training courses and to the General Planning Process Model.
- Identify the steps in the program development process as presented in the course.
- Identify the skills and knowledge needed in program development.
- Discuss the role of the program developer.
- Discuss specific issues relating to program development.

DESCRIPTION

This module consists of a Lecture Segment (A) that will require about one hour to deliver. The Module ends with a Workshop Segment (B) requiring about one hour to complete, including a debriefing.

Outline of Module I

Introduction to Program Development

Segment A

1. Introduction to the Module
2. What is a Program?
3. What is Program Development?
4. The Importance and Use of Program Development
5. How this Course Relates to Other Courses
6. The Steps to be Completed in this Course
7. Decision Points and the Decision Packages
8. Skills and Knowledge Needed by Program Developers
9. The Role of the Program Developer
10. Summary and Review

Segment A

PARTICIPANT GUIDE

Notes and Questions

1. Introduction.

2. What is a Program?

   a. In criminal justice planning, a program is defined as:

   - A set of related efforts, under a common, general authority, which is designed to address a particular problem.

   b. Programs are often contrasted with projects.

   - A project is a planned intervention at one or more sites, which is under the direction of a specific manager and which operationalizes a set of closely related activities.

   c. Three essential characteristics of a program.

Notes and Questions

d. This course will teach you about program development, which is a process.

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3. What is Program Development?

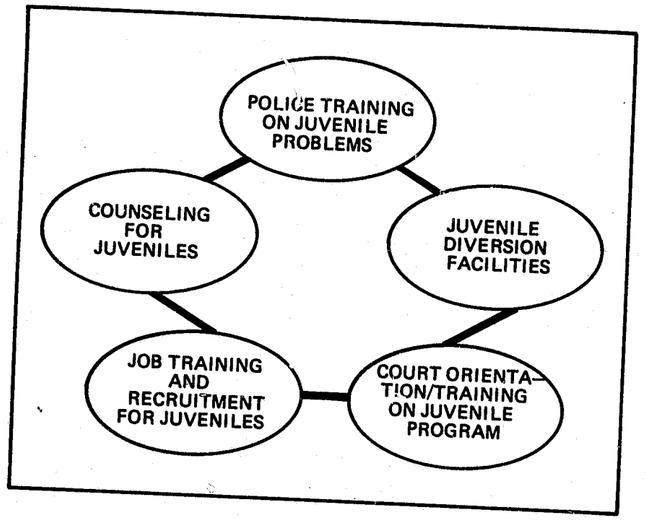
- Program development is the process of identifying, selecting, and designing one or more systems-oriented strategies made up of complementary projects and activities, to produce goal-directed changes in specific criminal justice problem areas.

a. Program development is first of all a process.

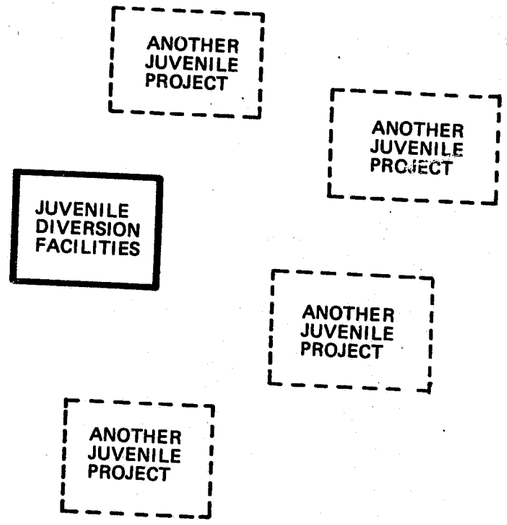
b. Program development is a process of identifying, selecting, and designing.

c. Program development is a process of identifying, selecting, and designing system-oriented strategies.

JUVENILE JUSTICE PROGRAM



JUVENILE JUSTICE PROJECTS



I-A-2a

Notes and Questions

d. The purpose of program development is to produce goal-directed changes.

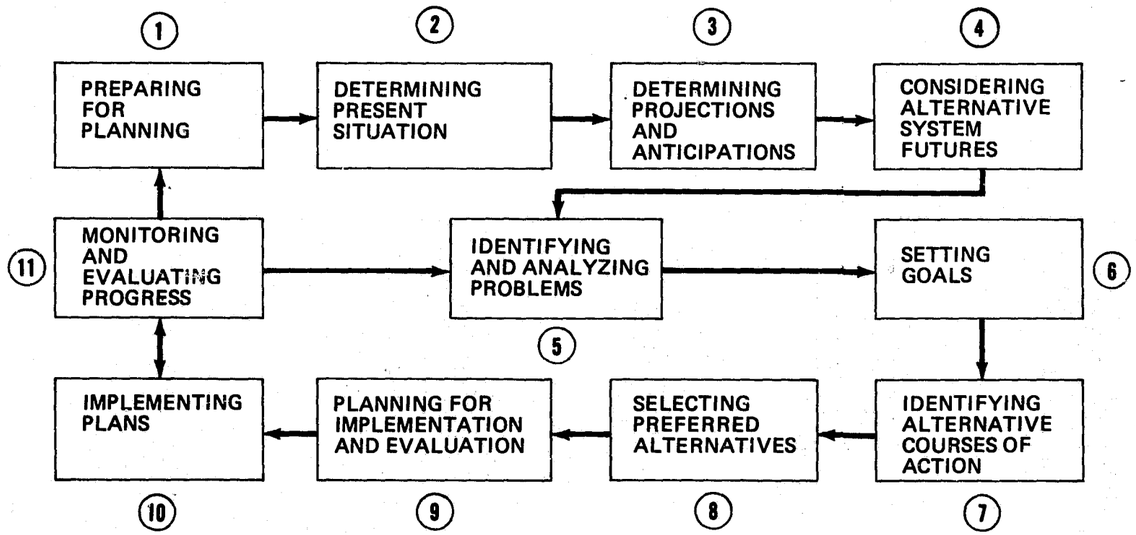
4. The importance and use of Program Development.

5. How This Course Relates to Other Courses.

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Visual B
Module I

GENERAL PLANNING PROCESS MODEL



I-A-3a

Notes and Questions

a. The Criminal Justice Planning Course covers the entire GPPM at a general level.

b. The Criminal Justice Analysis Course focuses on the identification and analysis of problems (Step 5).

c. The Criminal Justice Evaluation/Monitoring Course focuses on Step 11 of the GPPM.

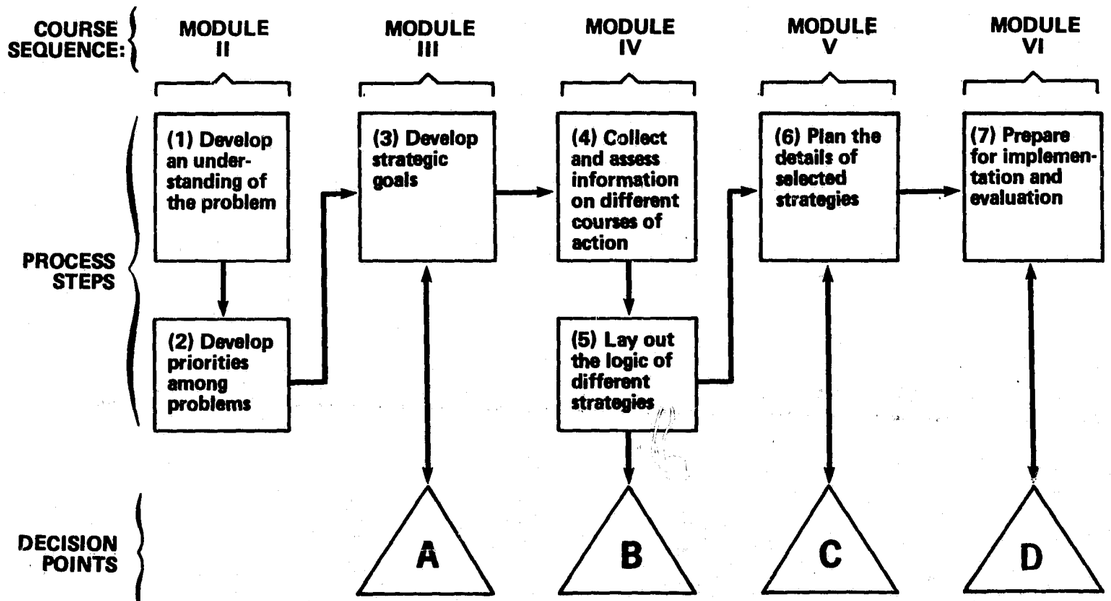
d. The Criminal Justice Management Course provides a management and decision-making perspective for the entire planning and implementation process.

e. The Program Development Course begins with the definition of one or more problems.

	Notes and Questions
f. Program development continues through "Planning for Implementation and Evaluation" at Step 9.	
6. The Steps to be Completed in This Course.	(Copy of Visual on next page.)
a. The first step in the Program Development process is to <u>Develop an Understanding of the Problem</u>.	
b. The second step is to <u>Develop Priorities Among Problems</u>.	
c. The third step: <u>Develop Strategic Goals</u>.	

Visual C
Module I

THE PROGRAM DEVELOPMENT PROCESS



I-A-5a

d. Step 4 is called Collect and Assess Information on Different Courses of Action.

e. Step 5 is a critical one: Lay Out the Logic of Different Strategies.

f. Step 6: Plan the Detailed Program Strategies.

g. Finally, Step 7 completes the Program Development process in Module VI, "Preparing for Program Implementation and Evaluation."

7. The Decision Points and the Decision Packages.

Notes and Questions

Notes and Questions

8. Skills and knowledge needed by program developers.

   a. Fact-finding and Analytic Skills.

   b. Interpersonal Skills.

   c. Technical, administrative, and planning skills.

   d. Operational and Content Expertise.

9. The role of the Program Developer.

   a. Program development as taught here must co-exist with other planning activities.

Notes and Questions

   b. Limited resources may restrict the number of opportunities for program development efforts in any one year.

   c. The program developer may play a variety of roles.

10. Summary and Review.

(Copy of Visual on next page.)

WHY PROGRAMS SUCCEED OR FAIL:

- **Understanding of the Problem**
- **Appropriateness of the Strategy**
- **Adequacy of the Implementation**

Module I: Introduction to Program Development
Segment B: Workshop

PARTICIPANT GUIDE

1. Questions for group discussion:
   a. To what extent is there a program development orientation in your agencies? If there is, how is it carried out and who does it? How extensive is it?
   b. What barriers do you see to program development in your agencies? Can they be overcome? When? How?
   c. Does the future in CJ planning seem to be generally supportive of program development?

2. Course Objectives.
   a. You should be able to assess the adequacy (completeness, accuracy, logic) of statements relating to criminal justice problems within your jurisdiction (ref. Module II);
   b. You should understand the importance of establishing priorities among those problems for possible programmatic intervention (ref. Module II);
   c. You can develop strategic goals for the problems under consideration (ref. Module III);
   d. You will be able to develop and assess strategies logically capable of meeting the strategic goals (ref. Module IV);
   e. You will be able to plan out in some detail the steps and procedures needed in order to implement those strategies (ref. Module V);
   f. And finally, you will be able to identify those key events in the program plan on the basis of which effective management, evaluation, and corrective feedback can be carried out as the plan is later implemented (ref. Module VI).

Module 2

DEVELOPING AN UNDERSTANDING OF THE PROBLEM

Module II
Developing an Understanding of the Problem

PARTICIPANT GUIDE

TITLE Developing an Understanding of the Problem

PURPOSE

To provide an understanding of the relationship between the Criminal Justice Analysis process and the Program Development process. To cover the procedures and skills needed to assess the adequacy of the primary product of the analysis process: the Problem Statement.

OBJECTIVES

Upon completing this module, the trainees will be able to:

- State and apply criteria for assessing the conceptual adequacy of a problem statement.
- Discuss techniques for selecting problems for program development.

DESCRIPTION

This module consists of a lecture segment and a workshop segment. The segment sequence and estimated timing is as follows:

- Lecture Segment A - 1.5 hours
- Workshop Segment B - 2.5 hours

Outline of Module II

Developing an Understanding of the Problem

Segment A.

1. Review and Introduction
2. The Relationship Between Problem Analysis and Program Development
3. The Problem Statement
4. The Role of the Program Developer in Assessing the Adequacy of Problem Statements
5. Assessing the Adequacy of Problem Statements
6. Assessing the Conceptual Adequacy of a Problem Statement
7. Assessing the Explanatory Adequacy of a Problem Statement
8. Desk Activity--Identifying and Categorizing the Components of a Problem from a Problem Statement
9. Assessing the Logic of a Problem Statement
10. Desk Activity--Identifying Relationships Between Components in a Problem Statement
11. The Boundaries of a Problem
12. Setting Priorities Among a Set of Problems
13. Selecting Problems for Programmatic Treatment
14. Review--Assessing the Adequacy of a Problem Statement

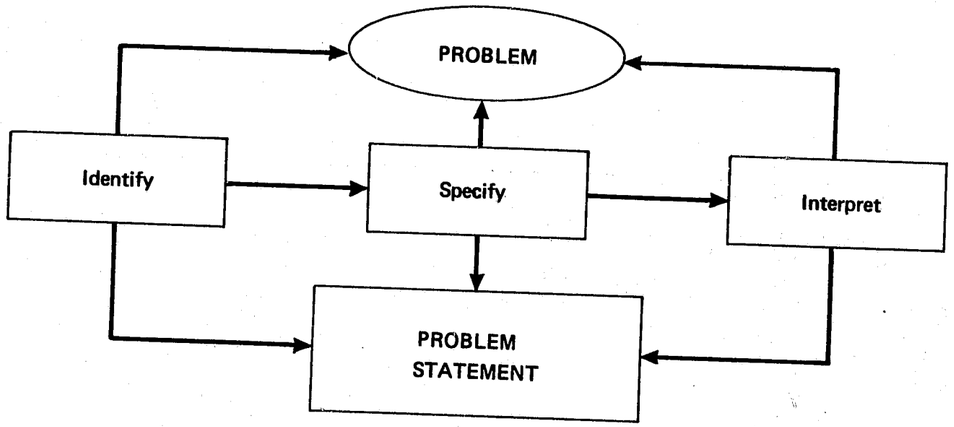
Segment A

PARTICIPANT GUIDE

	Notes and Questions
1. Review and Introduction.	
2. The Relationship Between Problem Analysis and Program Development.	
a. The analysis process has three primary tasks: to identify problems that exist in the System, to specify and define those problems in useful and meaningful terms, and to interpret or explain problems so that they can be understood by others.	(Copy of Visual on next page.)
3. The Problem Statement.	
a. A Problem Statement is defined as:	
• A written document or oral presentation which comprehensively describes the:	

Visual II-A

THE ANALYSIS PROCESS



II-A-1a

Notes and Questions

- nature,
- magnitude,
- seriousness,
- rate of change,
- persons affected,
- spatial aspects,
- temporal aspects,

of a problem using qualitative and quantitative information. It identifies the nature, extent, and effect of system response; makes projections based on historical inferences; and rigorously attempts to establish the origins of the problem.

4. The Role of the Program Developer in Assessing the Adequacy of Problem Statements.

5. Assessing the Adequacy of Problem Statements.

ANALYSIS COURSE

Problem Statement Format*

1.0 Introduction

- 1.1 Statement of concerns
- 1.2 Nature and source of concerns
- 1.3 Scope of concerns

2.0 Analysis Methodology

- 2.1 Definition of terms used
- 2.2 Assumptions made
- 2.3 Measurement, reliability and validity
- 2.4 Data collection procedures used
- 2.5 Statistical methods used.

3.0 Findings

- 3.1 Conceptual Hypothesis #1 -- supporting variables and measurements, results, interpretations, and conclusions
- 3.2 Conceptual Hypothesis #2
- 3.3 Conceptual Hypothesis #3

(As many as needed)

4.0 Discussion of Findings in General

- 4.1 Discussion of findings in relation to concerns expressed
- 4.2 Discussion of limitations

5.0 Summary

- 5.1 Highlights
- 5.2 Conclusions

6.0 Appendices

*This is the format recommended in the Criminal Justice Analysis Course.

Notes and Questions

a. There are two primary criteria for assessing the adequacy of a Problem Statement.

- The Problem Statement should be technically adequate.

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- The Problem Statement should also be conceptually adequate.

6. Assessing the Conceptual Adequacy of a Problem Statement.

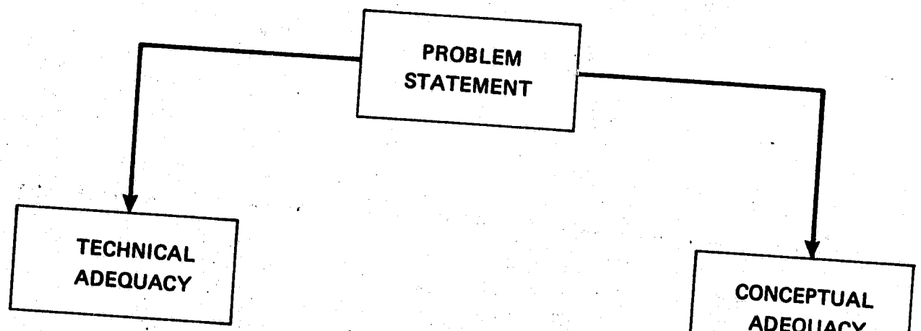
a. Conceptual adequacy refers to how well the Problem Statement describes and explains the problem.

b. The first criteria to be considered is how well the Problem Statement describes the problem.

- The characteristic of a good problem description is that it is comprehensive.

Visual II-B

ASSESSING A PROBLEM STATEMENT



II-A-3a

Notes and Questions

- A component of a problem is a condition or an event that defines or is associated with a particular problem.

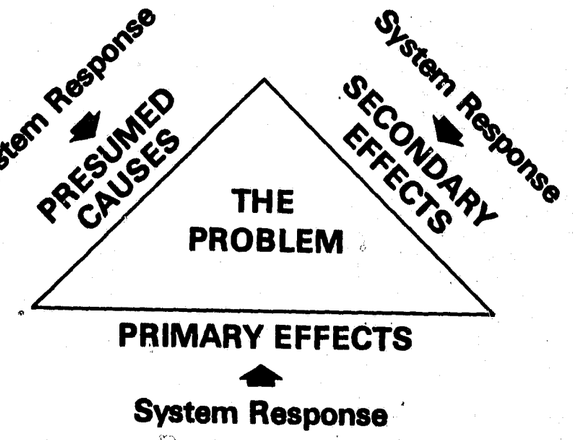
7. Assessing the Explanatory Adequacy of a Problem Statement.

a. The presumed causes of a problem are those conditions and events that are thought to come before and lead to the expressed concerns and related events and effects.

(Copy of Visual on next page.)

b. Primary effects are those conditions and events that directly result from the presumed causes.

VISUAL II-C



Notes and Questions

c. Secondary effects are those conditions and events that directly result from the primary effects and indirectly from the presumed causes.

d. System response refers to those conditions and events in the criminal justice system or some other relevant system that have an effect on or are affected by the problem's presumed causes, primary and secondary effects.

e. For the program developer to have a complete explanation of a problem, the Problem Statement should contain information on each of these categories of conditions and events.

8. *Desk Activity - Identifying and Categorizing the Components of a Problem from a Problem Statement.*

Read the following segment of a Problem Statement and identify the components (events and conditions) described there. List the components you identify on the lines provided and decide if they are a presumed cause, a primary effect, a secondary effect, or a system resonse component.

STATEMENT

It is estimated that there were 22,100 robberies committed in the city in 1978, an increase of 8.4 percent over 1977. Of these, it is estimated that 75% were reported to the police. Approximately 50% of the reported robberies were committed in the street, 40% were committed in commercial locations, and 10% were committed in private residences. The police were able to clear by arrest 29% of all robberies reported to them. About 58% of the persons arrested were prosecuted and 55% were convicted. The estimated monetary loss due to robbery was 7 million dollars. In addition, there were 6 deaths and 45 cases of serious physical injury resulting from robberies. The increase in the number of street robberies is attributed to an increase in the number of unemployed persons in the city and an increase in street gang activity over the last year. The high rate of street robbery has resulted in a significant decline in nightime retail business activity, and is believed to have contributed to the exodus of business to the suburbs.

Components	Presumed Cause, Primary Effect, Secondary Effect, or System Response?
1. _____	( )
2. _____	( )
3. _____	( )
4. _____	( )
5. _____	( )

6. _____ (
7. _____ (
8. _____ (
9. _____ (
10. _____ (
11. _____ (
12. _____ (
13. _____ (
14. _____ (
15. _____ (
16. _____ (
17. _____ (
18. _____ (
19. _____ (
20. _____ (

Notes and Questions

9. Assessing the Logic of a Problem Statement.

a. In an ideal Problem Statement linkages between components of a problem are explicitly stated and tested in the form of <u>hypotheses</u>.

- An hypothesis is a statement that asserts a relationship among either concepts, variables, or measures.

b. The program developer should be <u>very careful</u> in inferring too much from the information contained in a Problem Statement.

10. *Desk Activity - Identifying Relationships Between Components in a Problem Statement.*

Read the following segments of a Problem Statement.

Segment 1. A major problem in this city is the level of vandalism in the city schools. An analysis of school vandalism rates in the city indicates that vandalism is more prevalent in older schools than in schools built since 1965. The seriousness of the vandalism incidents (i.e., the cost of repairing the damage) was also found to be greater in schools with a lower level of upkeep, defined in terms of the amount spent on janatorial and groundskeeping services. Schools with lower numbers of vandalism incidents tended to be located on larger plots and to be farther removed from commercial or industrial land uses.

Segment 2. Schools with a high rate of vandalism tend to spend a smaller percentage of their budget on athletics and extramural activities. They also tend to have a higher rate of academic failure and teacher turnover. Students involved in vandalism incidents tended to have relatively lower academic performance. Over a third of the persons involved in such incidents were students who had dropped out of the school or who had been dismissed or suspended at some time while attending the school.

Relationships Identified

Segment 1:

Component	and	Component
1. Age of School Building		Number of Vandalism Incidents
2. Seriousness (Cost) of Vandalism Incidents		Level of Upkeep of Building and Grounds
3. Amount of Land on Which School is Located		Number of Vandalism Incidents
4. Distance of School From Commercial/Industrial Uses		Number of Vandalism Incidents

Segment 2:

Component	and	Component
5.		
6.		
7.		
8.		
9.		

Notes and Questions

11. The Boundaries of a Problem.

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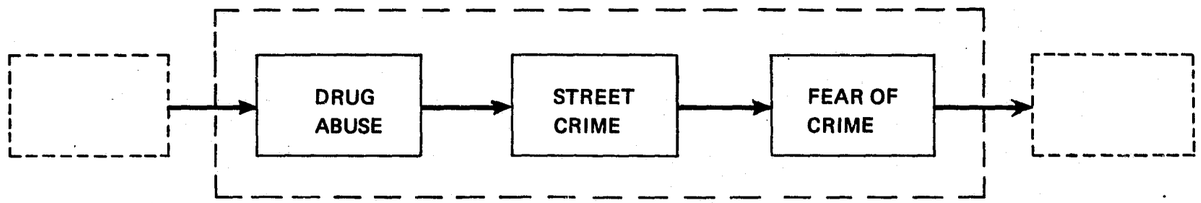
12. Setting Priorities Among a Set of Problems.

a. Priority-setting means making three different decisions:

- Do we deal with this problem at all?
- If we decide to address the problem, do we do so now or at some time in the future?
- If we decide to deal with the problem now, how much effort do we want to make?

VISUAL II-D

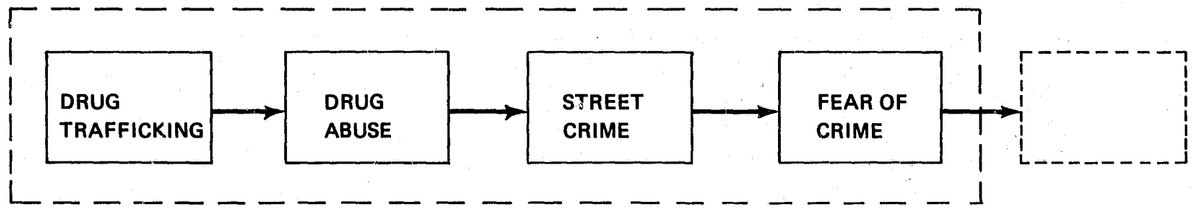
BOUNDARIES OF THE PROBLEM



VISUAL II-E

Module II
Visual E

BOUNDARIES OF THE PROBLEM



II-A-7b

Notes and Questions

13. Selecting Problems for Programmatic Treatment.

a. The criteria for selecting problems for programmatic planning are:

- The problem to be addressed should be well-understood.
- The problem should be important and should be seen as such by decision-makers, particularly in relevant operating agencies.
- The problem should be subject to comprehensive and system-level treatment.

14. Review: Assessing the Adequacy of a Problem Statement.

PROBLEM STATEMENT ON ARSON:
A REPORT ON THE PROBLEM OF ARSON IN THE CENTRAL CITY METROPOLITAN REGION

Submitted by:

The Arson Task Force of the
Criminal Justice Planning Unit

To:

The Central City Regional Planning Commission, Metropolitan Council of Governments

PROGRAM DEVELOPMENT COURSE

Guidelines for Reading the Problem Statement on Arson

The document titled Problem Statement on Arson in the Central City Metropolitan Region serves as the basis for several of the major workshops in the Program Development Course. While preparing to attend the course you are strongly encouraged to read this document and to digest as much of the detail as possible.

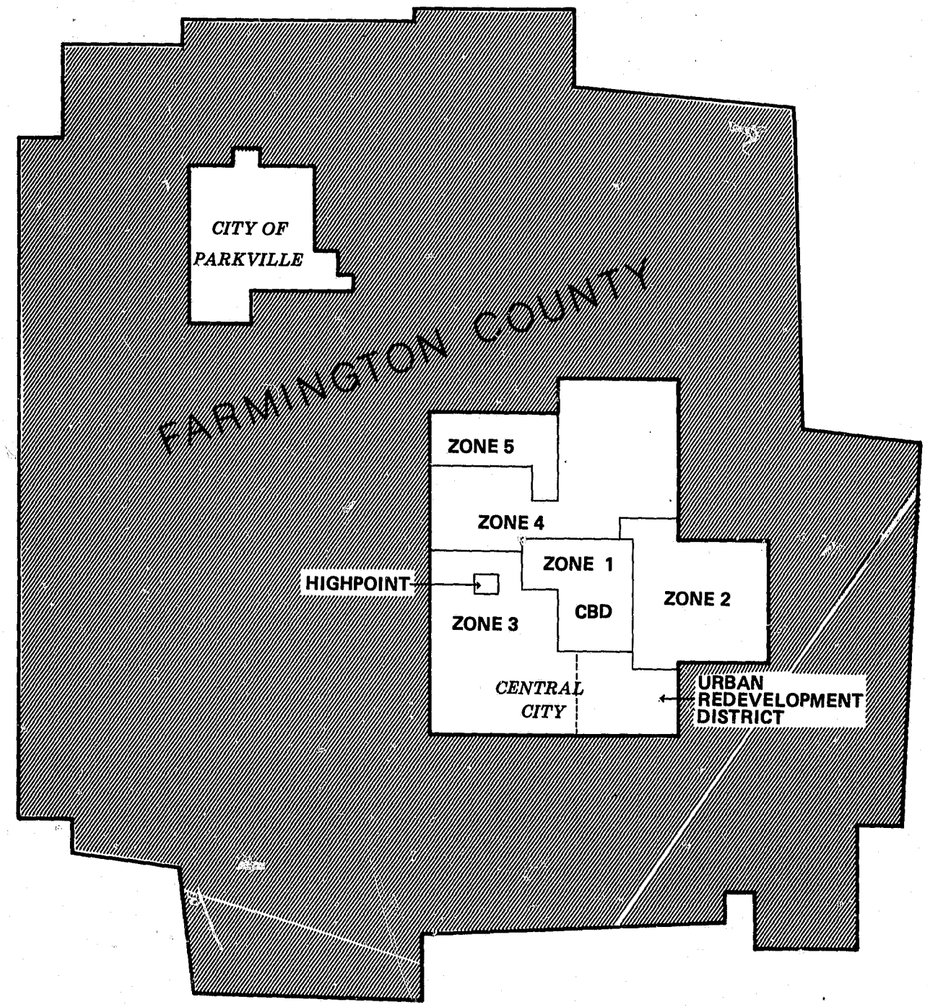
To help you organize your understanding of this Problem Statement we have provided the following guidelines:

- Review the Table of Contents before reading the main body of the text. Familiarize yourself with the topics covered and the way the material is organized.
- Read the text of the Problem Statement through once for comprehension. As you read think of the document as describing a problem in your jurisdiction which you have been asked to address.
- For the first reading do not spend more than a few minutes on the statistical tables. Once you feel you have a good grasp of the problem overall go back and focus on the tables, one at a time.
- As a final review, re-read the "Discussion of the Findings" and "Summary" sections (pp. 26-30) and make a mental note of how these discussions relate to the more detailed discussions in the "Findings" section.
- A 3-page worksheet is included in the back of the document (pp. 31-33). Do not complete this form. Detailed instructions on how to complete this form will be given in the course.
- Be sure to bring the Problem Statement with you when you attend the course.

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CENTRAL CITY METROPOLITAN REGION

PROBLEM STATEMENT ON ARSON

Explanation

This problem statement presents the analysis of the problem of arson in the Central City Metropolitan Planning Region, (CCMPR). The region contains a large urban jurisdiction, Central City; a rapidly growing suburban community, Parkville; and the surrounding jurisdiction of Farmington County. Central City and Parkville operate with exclusive jurisdiction--there is no overlapping of authority. The County provides all police and fire services outside Central City and Parkville.

Prosecutional and adjudicatory functions are performed at the county level. The District Court supervises the adult probation program. Juvenile corrections, including probation and aftercare are run by the State Youth Authority.

The Problem Statement was prepared by the Criminal Justice Unit of the Central City Regional Planning Commission, a multi-purpose planning agency under a Council of Governments.

1.0 Introduction

The Central City Regional Planning Commission mandated the Criminal Justice Unit (CJU) to investigate and report on the problem of arson in the Central City Metropolitan Region.

1.1 Statement of Concerns

The mandate required the CJU to conduct a general survey of the arson problem. The mandate also specified a set of major concerns to be addressed in the report.

- That the incidence of arson has increased rapidly within the last ten years.
- That existing efforts to control arson were inadequate, inappropriate or uncoordinated.
- That the problem of arson poses a threat to the life, safety and economic security to citizens in the region.

- That the destruction of lives and property caused by arson creates a substantial burden on local governments through the loss of tax revenue and increased demands for services.

1.2 Source and Nature of Concerns

The sources of these concerns included a variety of local community, business and civic groups in the Region.

- The Central City Chamber of Commerce indicated that the high level of arson in the City's Central Business District (CBD) was threatening to reverse recent efforts to revitalize that area.
- The chairperson of the Neighborhood Action Group (Central City), made a statement that the City's police and fire departments were not responding adequately to the "epidemic" of arson fires in that part of the City. The statement suggested that this increase was the result of a well-organized arson-for-profit scheme.
- The President of the Parkville Homeowners Association testified that juvenile vandalism was becoming a major problem. The most dangerous aspect of the problem, he suggested, was the increased number of vandalism fires being set by juveniles.
- The chairperson of the Farmington County Business Association indicated that financial losses due to arson impeded the development of the county.
- The President of the Central City Municipal League cited increased arson as an indication of heightened frustration among minority youth, and the lack of adequate recreational facilities.
- The Councilman from Zone 5 (Central City), during public hearings, indicated that the city was losing significant sums of revenue due to property losses resulting from arson fires and that expenses for dealing with arson imposed a heavy burden on the city's finances.

1.3 Scope of Concerns

A public opinion survey conducted by the CJU indicates that fewer than five percent of all residents in the Region consider arson a major problem. Only twelve percent consider arson to be an "important" or "very important" problem for the Region. Thus, despite a considerable coverage of the arson problem in

local media, arson is not regarded as a salient area of concern by the public.

2.0 Analysis Methodology

This analysis is based on information gathered from a variety of sources:

- Official fire service and criminal justice records
- Personal interviews with fire and criminal justice personnel
- Interviews with local business and civic leaders
- Communications with experts in the field of arson
- Current research literature in the arson area
- A Region-wide survey of the public and local businesses

3.0 Findings

The findings are organized according to the major questions developed out of the broader concerns listed above. The questions are:

- To what extent has there been an increase in the number of arsons being committed?
- Which agencies are responsible for the control of arson and how do they operate in this area?
- What indications are ther of the effectiveness of current arson control efforts?
- What are the individual costs and consequences of arson?
- What are the costs and consequences of arson to local governments?
- What are the long-term effects of arson on the region?
- What are the social, economic, and psychological factors related to arson?

3.1 The Incidence of Arson in the Central City Metropolitan Region

According to State law, arson is defined as the deliberate and intentional setting of a fire for the purpose of damaging

or destroying the property of another person, or of damaging and destroying property to collect insurance proceeds. In 1978, there were 11,687 fires reported to the fire departments in the Region. Of these, 1476 (12.6%) were caused by arson. The rate of arson per 100,000 population in the Region is 98.2.

Table 1 presents the arson experience of the Region and the constituent jurisdictions since 1974. The number of arsons detected has increased by 5.5 percent since 1974. This increase cannot be attributed to changes in population as the Region's population has declined by 1.1 percent since 1975. Each jurisdiction has experienced an increase in the incidence of arson over the last five years. With the exception of Farmington County, the proportion of fires found to be the result of arson has increased over the five year period, as has the rate of arson per 100,000 population. The two urban jurisdictions, Central City and Parkville, experienced substantially higher rates of arson than the County.

TABLE 1. ARSON EXPERIENCE IN CENTRAL CITY METROPOLITAN REGION BY JURISDICTION: 1974-1978.

	YEAR				
	1974	1975	1976	1977	1978
REGION (TOTAL)					
All Fires Reported	11488	11695	11581	11645	11687
Arson Fires	1399	1427	1436	1456	1476
Percent Arson	12.2	12.2	12.4	12.5	12.6
Rate Per 100,000 Population	--	94.0	--	--	98.2
CENTRAL CITY					
All Fires Reported	6210	6050	6107	5971	5882
Arson Fires	865	863	895	841	885
Percent Arson	13.9	14.3	14.7	14.1	15.0
Rate Per 100,000 Population	--	101.4	--	--	107.7
PARKVILLE					
All Fires Reported	148	187	198	205	213
Arson Fires	19	27	30	30	37
Percent Arson	12.8	14.4	15.1	14.6	17.4
Rate Per 100,000 Population	--	91.7	--	--	109.0
FARMINGTON COUNTY					
All Fires Reported	5130	5458	5276	5469	5592
Arson Fires	515	537	511	585	554
Percent Arson	10.0	9.8	9.7	10.7	9.9
Rate Per 100,000 Population	--	83.3	--	--	85.6

More arsons are committed in the Region than are reported to, or detected by, authorities. Experts estimate that up to 40 percent of the fires categorized as "suspicious" or "of unknown origin," and 20 percent of fires categorized as "accidental" are the result of arson. Thus, it is likely that *current figures substantially underestimate the actual incidence of arson in the Region.*

3.2 The Location of Arson in the Central City Metropolitan Region

Table 2 presents the types of structures involved in known arson fires in 1978, broken down by jurisdiction. The majority of arson fires occurred in residental locations (72.6%), followed by commercial locations (21.8%), and industrial locations (3.9%) in 1978. School arsons accounted for 1.7 percent of all arsons.

TABLE 2. TYPE OF STRUCTURES INVOLVED IN ARSON FIRES BY JURISDICTION: 1987.

	JURISDICTION			
Type of Structure	Central City	Park-ville	Farming-ton Co.	Region (Total)
RESIDENTIAL				
Number	602	27	443	1072
(Percent)	(68.0)	(72.9)	(79.9)	(72.6)
COMMERCIAL				
Number	243	4	74	321
(Percent)	(27.5)	(10.8)	(13.4)	(21.8)
INDUSTRIAL*				
Number	25	0	33	58
(Percent)	(2.8)	(0.0)	(6.0)	(3.9)
SCHOOLS				
Number	15	6	4	25
(Percent)	(1.7)	(16.2)	(0.7)	(1.7)
TOTAL				
Number	885	37	554	1476
(Percent)	(100.0%)	(100.0%)	(100.0%)	(100.0%)

* Includes warehouse and other storage facilities.

About half of the buildings involved in arsons were occupied at the time of the fire, approximately 15 percent were temporarily vacant and 35 percent were abandoned. Table 3 presents the breakdown on the occupancy status of the buildings involved in arson by type of structure. *The most frequent target of arson is the occupied residential building.*

TABLE 3. OCCUPANCY STATUS OF STRUCTURES INVOLVED IN ARSON FIRES BY TYPE OF STRUCTURE: 1978.

Type of Structure	OCCUPANCY STATUS* Occupied	Vacant	Abandoned	Total
RESIDENTIAL				
Number	504	129	439	1072
Percent	(47.0)	(12.0)	(41.0)	(100.0)
COMMERCIAL				
Number	178	87	56	321
Percent	(55.5)	(27.1)	(17.4)	(100.0)
INDUSTRIAL				
Number	34	6	18	58
Percent	(58.6)	(10.3)	(31.0)	(100.0)
SCHOOLS				
Number	25	0	0	25
Percent	(100.0)	(0.0)	(0.0)	(100.0)
TOTAL				
Number	741	222	513	1476
Percent	(50.2)	(15.0)	(34.8)	(100.0)

* Occupancy status defined according to whether or not the structure involved in the arson had a full-time tenant and an identifiable owner at the time of the arson fire. A structure was categorized as "occupied" if it met both of these conditions, "vacant" if it met only the latter condition, and "abandoned" if it met neither condition.

3.3 Current Efforts to Control Arson

Seven units of local government and one unit of State government are legally responsible for the control of arson in the Region. These are:

- the Central City Fire Department
- the Parkville Fire Department
- the Farmington County Unified Volunteer Fire Department
- the Central City Police Department

- the Parkville Police Department
- the Farmington County Sheriffs Department
- Farmington County Prosecutors Office
- State Fire Marshalls Office

Several other local- and State-level agencies are involved in arson-related activities. These include:

- the Central City Regional Bureau of Human Resources
- the Central City Regional Youth Buteau
- State Attorney General's Office
- State Insurance Commission

Table 4 summarizes the jurisdiction of these agencies, their arson-related functions and responsibilities, and the existence of any specialized unit or personnel in the arson area.

Arson control can be broken into three major components:

- Detection
- Investigation
- Prosecution

3.3.1 Arson Detection

State law requires that the cause and origin of all fires reported to the fire department be determined. The cause and origin of fires may be determined to be:

- accidental
- incendiary (arson)
- unknown or suspicious (no cause found or verified)

The cause and origin of a fire may be determined on the basis of a preliminary investigation at the fire scene by the ranking commander of the fire department responding to the fire. If the fire commander is unable to determine the cause, he or she requests a full investigation. In the case of Central City this would be carried out by a six-man Fire Investigation Unit. In Parkville the investigation is made by a senior commander or the Assistant Fire Chief. In Farmington County the investigation

TABLE 4. AGENCIES RESPONSIBLE FOR ARSON CONTROL AND ARSON-RELATED FUNCTIONS IN THE CENTRAL CITY METRO REGION.

AGENCY	JURISDICTION	ARSON-RELATED FUNCTIONS AND RESPONSIBILITIES	ARSON UNIT
Central City Fire Department	Central City	• Fire Suppression • Determine "Cause and Origin" of Fires • Identify, Gather and Preserve Fire/Arson Evidence • Identify Persons Responsible for Fires	Fire Investigation Unit - 2-3 Person Teams
Parkville Fire Department	Parkville	(Same as Above)	None
Farmington County Unified Volunteer Fire Department	Farmington County	(Same as Above)	No Permanent Unit - Utilizes 2 Man Investigative Team From State Fire Marshal's Office on Request
Central City Police Department	Central City	• Criminal Investigation of Arson	None
Parkville Police Department	Parkville	• Criminal Investigation of Arson	None
Farmington County Sheriffs Office	Farmington County	• Criminal Investigation of Arson	None
Farmington County Prosecutors Office	Region	• Criminal Investigation and Prosecution of Arson	None
State Fire Marshals Office	State-Wide	• Provides Investigative Services to Local Jurisdictions • Regulates and Certified Training of Fire Service and Fire Investigative Personnel • Investigative Powers in Area of Arson Fraud • State Fire Laboratory • Arson Data Collection and Analysis	Maintains 3 2-Person Fire Fire Investigative Teams Maintains Fire Investigation Laboratory-Not Specifically Equipped for Arson Analysis
Central City Regional Bureau of Human Resources	Region	• Shelter and Medical Services for Persons Displaced by Fire • Public Assistance and Unemployment Compensation to Persons Losing Jobs Due to Fire • Small Business Loan Program for Repair of Fire Losses	None Specifically Related to Fire or Arson Losses
Central City Regional Youth Bureau	Region	• Shelter Care • Pre-Trial Services • Mental Health Services • Juvenile Detention • Juvenile Probation • Juvenile Aftercare	No Services Specifically Related to Youth Involved in Arson-Related Activity
Central City University Hospital Burn Unit	Central City	• Emergency Medical Care for Burn Victims	N/A
State Attorney General's Office	State-Wide	• Regulates and Certifies Training of Law Enforcement Personnel • Investigation of Organized Crime • Investigation of White Collar Crime Such as Arson Fraud	None
State Insurance Commission	State-Wide	• Regulates Insurance Industry Policies and Practices • Investigative Powers in Area of Insurance Fraud Including Arson Fraud	None Specifically Related to Arson

may be carried out by a senior fire commander or a two-person investigation team provided by the State Fire Marshall's Office.

Table 5 presents the disposition of all fires reported to the fire departments in the Region in 1978. The table indicates that three percent of all fires in the Region were given a full investigation, (N=360, including four pending as of 12/31/78). Of these, 83 percent were conducted by the Central City Fire Investigation Unit. The remainder were conducted by a team from the State Fire Marshall's Office. *Arson was detected in 56 percent of the fires when a full investigation was conducted compared to 11 percent when the cause was determined on the basis of a preliminary judgment at the fire scene.*

TABLE 5. DISPOSITION OF REPORTED FIRES BY FIRE DEPARTMENTS, BY JURISDICTION: 1978.

Disposition/Findings	JURISDICTION: Central City	Parkville	Farmington County	Region (Total)
TOTAL FIRES REPORTED	5882	213	5592	11,687
• Fires Investigated*				
Number	294	6	56	356
Percent	(5.0)	(2.8)	(1.0)	(3.0)
- Arson Found				
Number	156	6	41	203
Percent	(53.1)	(100.0)	(73.2)	(59.0)
- Accidental Found				
Number	10	0	0	10
Percent	(3.4)	(0.0)	(0.0)	(2.8)
- No Cause Found				
Number	128	0	15	143
Percent	(43.5)	(0.0)	(26.8)	(40.2)
• Fires Not Investigated**				
Number	5585	207	5535	11327
Percent	(95.0)	(97.2)	(99.0)	(99.0)
- Arson Found				
Number	729	31	513	1273
Percent	(13.1)	(15.0)	(9.3)	(11.2)
- Accidental Found				
Number	4866	176	5022	10054
Percent	(87.1)	(85.0)	(90.7)	(88.8)
• Investigation Reading***				
Number	3	0	1	4

* Full investigation by fire department personnel.
** Preliminary investigation at fire scene by fire commander.
*** As of December 31, 1978.

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• Investigation Reading***				
Number	3	0	1	4

* Full investigation by fire department personnel.
** Preliminary investigation at fire scene by fire commander.
*** As of December 31, 1978.

3.3.2 Arson Investigation

When arson is detected the fire service submits a report to the County Prosecutor indicating its finding. Based on the report the Prosecutor may take one of several steps:

- Have an arrest warrant issued for the person(s) suspected,
- Conduct a further investigation of the crime, or
- Determine that there is not enough evidence to pursue the case further.

No uniform policy has been adopted in any of the jurisdictions in this area.

Table 6 presents the dispcsition of arson cases up to the arrest of persons. Law enforcement agencies cleared about 25 percent of all arson cases by an arrest. Slightly over 40 percent of all cases were suspended and 33 percent were not investi gated. *The reasons given for suspending or not conducting an investigation centered on lack of evidence or insufficient manpower to conduct a full investigation.*

TABLE 6. DISPOSITION OF REPORTED ARSON CASES BY LAW ENFORCEMENT AGENCIES, BY JURISDICTION: 1978.

	JURISDICTION			
TOTAL REPORTED ARSONS	Central City	Parkville	Farmington County	Region (Total)
Number	885	37	554	1476
Percent	(100.0)	(100.0)	(100.0)	(100.0)
• Cleared by Arrest				
Number	239	10	119	368
Percent	(27.0)	(27.0)	(21.4)	(24.9)
• Investigation Pending				
Number	8	1	0	9
Percent	(0.9)	(2.7)	(0.0)	(0.6)
• Investigation Suspended				
Number	496	9	109	614
Percent	(56.0)	(24.3)	(19.6)	(41.6)
• No Action Taken*				
Number	142	17	326	485
Percent	(16.1)	(45.9)	(58.8)	(32.9)

* Law enforcement records indicate report received but no action was considered necessary or possible.

Table 7 presents the characteristics of the persons arrested for arson in 1978. *Persons arrested for arson were predominantly young white males, including a substantial number of pre-adolescents.* Less than 30 percent of all persons arrested were age 25 or older.

Table 7. CHARACTERISTICS OF PERSONS ARRESTED FOR ARSON, BY JURISDICTION: 1978.

	Central City		Parkville		Farmington County		Region (Total)	
	Number	%	Number	%	Number	%	Number	%
TOTAL PERSONS ARRESTED	279	100.0	15	100.0	180	100.0	474	100.0
BY AGE:								
10 Years or Younger	31	11.1	2	13.3	10	5.6	43	9.1
11-17 Years	129	46.2	7	46.7	41	22.8	177	37.3
18-24 Years	55	19.7	3	20.0	59	32.8	117	24.7
25 Years or Older	64	22.9	3	20.0	70	38.9	137	28.9
BY SEX:								
Males	246	88.2	14	93.3	163	90.5	423	89.2
Females	33	11.8	1	6.7	17	9.5	51	10.8
BY RACE:								
White	212	76.0	13	86.7	158	87.8	383	80.8
Black	63	22.6	2	13.3	19	10.6	84	17.7
Other	4	1.4	0	0.0	3	1.6	7	1.5

Table 8 indicates that about half of all juveniles arrested for arson were referred to Juvenile Court. Over 40 percent were handled within the department and released with no further action. A small number of juveniles were diverted to the Regional Youth Bureau or transferred to another agency outside the Region. Six juveniles were tried as adults.

TABLE 8. PRE-TRIAL DISPOSITION OF JUVENILES ARRESTED FOR ARSON, BY JURISDICTION: 1978.

Disposition	JURISDICTION							
	Central City		Parkville		Farmington County		Region (Total)	
	Number	%	Number	%	Number	%	Number	%
TOTAL JUVENILES*	160	100.0	9	100.0	51	100.0	220	100.0
• Referred to Juvenile Court	82	51.3	4	44.4	31	60.8	117	53.2
• Released/No Further Action	71	44.4	4	44.4	15	29.4	90	40.9
• Referred to Youth Bureau	2	1.3	1	11.2	1	2.0	4	1.8
• Transferred to Other Jurisdiction	2	1.3	0	0.0	1	2.0	3	1.4
• Transferred to Criminal Court**	3	1.7	0	0.0	3	5.8	6	2.7

* Juveniles defined as persons under age 18.

** Tried as an adult.

Table 9 indicates the disposition of adults arrested for arson in 1978. Of the 254 persons arrested, approximately 12 percent were charged and held for prosecution (N = 30). The remainder were released with no further action. Of the 30 held for prosecution, eight were referred to juvenile court to be handled as youthful offenders.

TABLE 9. DISPOSITION OF ADULTS ARRESTED FOR ARSON: 1978.

	Number	Percent
TOTAL ADULTS ARRESTED	254	100.0
Pre-Trial Disposition		
• Released/No Further Action	224	88.2
• Held For Prosecution	30	11.8
Adjudication		
• Convicted/Arson	7	2.8
• Convicted/Lesser Charge	1	0.4
• Acquitted/Case Dismissed	5	2.0
• Referred to Juvenile Court/ Tried as Youthful Offender	8	3.1
• Prosecution Pending	9	3.5
Sentencing (Arson Conviction Only)		
• Incarcerated	1	0.4
• Suspended Sentence	2	0.8
• Probation	4	1.6

3.3.3 Arson Prosecution

The judicial disposition of persons tried in juvenile court is not available. The six juveniles tried as adults were adjudicated as follows: one was convicted on the charge of arson, two were convicted on a lesser charge, one was acquitted on all charges, and two were awaiting trial as of 12/31/78 pending a psychiatric examination.

Of the 22 adults tried for arson, seven were convicted on the arson charge, one was convicted on a lesser charge, five were either acquitted or had their case dismissed and nine were awaiting trial pending a psychiatric examination (as of 12/31/78).

Of the seven adults convicted of arson in 1978, three were sentenced to prison. One was required to serve a sentence. The remaining six were placed on probation or given a suspended sentence.

3.3.4 Policies and Procedures

Areas of policy and procedural adequacy investigated for this report include:

- Level of training in the area of arson detection, investigation and prosecution.
- Level of basic resources to respond to arson incidents.
- Level of cooperation and coordination among the agencies responsible for arson control.
- Legal policies affecting arson control measures.

Training was identified as a problem in the agencies involved in arson control. The critical period for detecting an arson is during the first few minutes after the fire is set. Such factors as the location of the fire and the color of the flames and smoke provide the best clues as to whether the fire was deliberately set. Police and firefighters are not trained to notice these factors. In the course of putting out the fire, the physical evidence needed to confirm the presence of arson is often destroyed or not adequately preserved. This problem is most acute in small volunteer fire departments where training opportunities are often very limited.

Fire investigators indicated that their training has lagged behind recent developments in arson investigation. In Central City, four out of the six full-time investigators have received no formal training and none have received in-service training during the last four years. In Parkville and Farmington County, fire officials who carry out fire investigations have not received any formal training in that function.

Police officials indicated that detectives assigned to arson investigations have not received training in arson investigation. Prosecutors indicated that arson cases are assigned to them on the basis of availablility. None of the prosecutors have been trained in arson prosecution or investigation.

Resources. The equipment used in current investigations is ten to fifteen years behind the state-of-the-art. The only adequate fire analysis laboratory in the State is located in the State Fire Marshall's Office in Capitol City. The normal period from the time evidence is sent to the Laboratory for analysis and the time a report is received is approximately five weeks.

There is no system to collect or preserve data on arson, and, consequently, there is no data base that can be used to monitor or make decisions about the allocation of arson control resources. Information relating to changes in property ownership, insurance claims or other information valuable in arson investigation is not available.

Cooperation and Coordination. Current efforts to control arson are hindered by a lack of inter-agency cooperation and coordination. Fire departments have no independent law enforcement powers and rely on law enforcement agencies to conduct criminal investigations and presecutions. At present, there is no mechanism. to coordinate the activities of fire, police and prosecution agencies. Previous efforts to coordinate these agencies have been complicated by conflicting workloads, inconsistent record-keeping procedures and internal department policies.

Legal privacy requirements limit the ability of law enforcement agencies, other administrative agencies and private companies to share information. These laws were passed to protect individuals from indiscriminate invasion of their privacy, but in the context of arson control, they also limit the ability of agencies to detect fraudulent overinsurance of property and to investigate suspected arson cases.

3.4 Personal Costs of Arson

Three major categories of personal loss due to arson were investigated:

- Property loss
- Physical injury
- Loss of life

3.4.1 Property Loss

In 1978 the estimated value of property destroyed by arson fires was approximately 5.2 million dollars. Table 10 breaks down these losses by jurisdiction and by type of structure involved. Arson fires accounted for slightly less than 20 percent of all fire losses in the Region. These losses are for insured property losses only.

TABLE 10. INSURED FIRE AND ARSON PROPERTY LOSS BY JURISDICTION AND TYPE OF STRUCTURE: 1978

	JURISDICTION			
	Central City	Parkville	Farmington County	Region (Total)
TOTAL FIRE LOSS	$14,239,279	$584,739	$11,226,037	$26,050,055
• Residential	8,116,389	333,301	6,398,841	14,848,531
• Non-Residential	6,122,890	251,438	4,827,196	11,201,524
TOTAL ARSON LOSS	$2,829,344	$116,188	$2,230,614	$5,176,146
• Residential	1,298,622	53,328	1,023,815	2,375,765
• Non-Residential	1,530,722	62,860	1,206,799	2,880,281

3.4.2 Physical Injury

In 1978 there were 865 cases of serious physical injury (injury requiring hospitalization for more than 24 hours) due to fires in the Region. Of these, 133 (15%) were associated with arson fires. Table 11 presents the injury data broken down by jurisdiction and type of structure involved in the arson. Residential arson accounted for nine percent of all injuries due to fire. Non-residential arson fires accounted for seven percent of all injuries due to fire in the region.

TABLE 11. PERSONS INJURED IN FIRES AND ARSON FIRES BY JURISDICTION AND TYPE OF STRUCTURE: 1978

	JURISDICTION			
	Central City	Parkville	Farmington County	Region (Total)
TOTAL FIRE-INJURIES	410	15	440	865
Residential	303	11	326	640
Non-Residential	107	4	114	225
TOTAL ARSON INJURIES	63	2	68	133
Residential	36	1	39	76
Non-Residential	27	1	29	57

Farmington County had an average injury rate of one injury for every eight arson fires. Parkville had a rate of one injury for every 20 fires. Central City had a rate of one injury for every 14 arson fires.

3.4.3 Loss of Life

In 1978 there were 59 deaths caused by fires in the region. Of these, four have been attributed to arson fires. Two of the deaths occurred in a single incident in Central City. The other two were associated with separate incidents in Farmington County.

3.5 Cost of Arson to Local Governments

The assessment of the costs of arson to local governments focused on two primary factors:

- Decreased revenues due to arson-related property loss.
- Increased expenditures due to demands created by arson fires.

The latter estimates were confined to:

- Costs associated with current efforts to control arson.
- Costs associated with current public assistance to citizens affected by arson fires.

3.5.1 Decreased Revenues

In 1978 local governments lost an estimated $172,260 in property tax revenues due to arson fires. Table 12 presents the breakdown of these estimates by jurisdiction. Other indirect effects, such as lost jobs and closed businesses, also reduce the tax base of the region, but cannot be accurately estimated.

TABLE 12. ESTIMATED PROPERTY TAX LOSS DUE TO ARSON FIRES, BY JURISDICTION: 1978*

	Central City	Parkville	Farmington County	Region (Total)
RESIDENTIAL	$33,575.22	$1,418.79	$6,142.89	$41,136.90
NON-RESIDENTIAL	117,100.23	3,224.72	10,801.19	131,126.14
TOTAL	$150,675.45	$4,643.51	$16,944.08	$172,263.04

* Based on insured property losses only.

3.5.2 Increased Service Demands

Current efforts to control arson cost local governments an estimated $980,000 in 1978. Approximately $650,000 was spent on responding to the actual fires. The remaining $330,000 was spent on detecting, investigating, arresting and prosecuting arsonists. Table 13 summarizes the costs for these various functions by jurisdiction.*

*Cost estimates are based on the average cost to local governments to carry out the various functions involved in arson control. The only cost specifically attributable to arson is the Fire Investigation Unit maintained by the Central City Fire Department.

TABLE 13. ESTIMATED ARSON CONTROL COSTS, BY TYPE OF FUNCTION AND JURISDICTION: 1978.

Function	JURISDICTION			
	Central City	Parkville	Farmington County	Region (Total)
FIRE SUPPRESSION	$533,230	$26,840	$92,673*	$652,743
FIRE INVESTIGATION	216,000	0	0	216,000
CRIMINAL INVESTIGATION	45,240	3,714	47,706	96,660
PROSECUTION	-	-	-	15,500**
TOTAL	$794,470	$30,554	$140,379	$980,903

* Farmington County's fire suppression cost reflects the predominant use of voluteer firefighters versus the use of full-time, paid firefighters in Central City and Parkville.

** Prosecution costs are for the County Prosecutor's Office only with jurisdiction over the whole region.

The remaining costs attributable to arson relate to the services provided to persons victimized in arson-related indicents. These costs came to approximately $1.9 million in 1978. Table 14 summarizes the nature and the amount of these costs.

TABLE 14. ESTIMATED COST OF SERVICES PROVIDED TO ARSON VICTIMS, BY TYPE OF SERVICE: 1978.

SERVICE	ESTIMATED AMOUNT
• Public Assistance/Unemployment Compensation	$1,660,300
• Temporary Shelter Care	165,000
• Small Business Loan Program (Administrative Costs Only)	21,585
• Emergency Medical Treatment	12,410
TOTAL	$1,859,295

Based on the above estimates the total annual cost of arson to local governments in the Region is approximately $2.8 million.

3.6 Long-Range Impact of Arson on the Region

The long-term impact of arson on the Region was analyzed in terms of the following factors:

- Lost jobs and wages
- Loss of housing and displacement of residents
- Effect on property values and business activity

3.6.1 Lost Jobs and Wages

In 1978 there were 28 commercial and two industrial arson fires that resulted in the total destruction of a business or manufacturing firm. The total number of jobs lost due to these fires was 447. Using the average yearly income of persons employed in this Region the estimated losss in wages was over 5.5 million dollars. The additional wage loss due to temporary closings is estimated to be approximately 5.8 million dollars. The total loss in wages is estimated to be $11.3 million.

3.6.2 Loss of Housing and Displacement of Residents

The toal number of housing units destroyed for every 5.2 residential arsons. Table 15 presents the breakdown on the number of units lost by jurisdiction.

TABLE 15. HOUSING UNITS DESTROYED BY ARSON FIRES, BY JURISDICTION: 1978.

Jurisdiction	Number of Units Destroyed
CENTRAL CITY	134
PARKVILLE	4
FARMINGTON COUNTY	69
TOTAL	207

The estimated number of persons permanently displaced from their homes by arsons in 1978 was 503. In addition, it it estimated that as many as 5000 persons were forced to seek alternative shelter for some period due to arson.

3.6.3 Property Values and Business Activity

An arson fire has a direct impact on the value of the structure involved in the fire. The other aspect to be considered is the impact arson has on the value of property in the vicinity of the arson. The persons interviewed for this report agreed that isolated instances of arson have a minimal effect on property values. However, in areas where a large number of arsons have occurred, property values tend to decline. Persons interviewed for this report also suggested that isolated incidents of arson do not have a major impact on business activity. However, when a neighborhood has been identified as a high-arson-risk area it becomes difficult for businesses to obtain financial backing from banks. In addition, businesses in these areas may have difficulty obtaining insurance coverage except at higher than normal premium rates, if at all. Thus, existing businesses are encouraged to leave and new businesses are discouraged from entering areas with a high level of arson.

3.7 Cause of Arson

Under current police practice, arson crimes are categorized according to the presumed motives of the arsonist. These categories include:

- Vandalism Arson - arson committed for the sole purpose of destroying or damaging property.
- Revenge Arson - arson committed to punish or injure a second party.
- Pyromania - arson committed as a result of a psychological disorder.
- Arson to Cover Crime - arson committed to destroy evidence of a crime.
- Arson for Profit - arson committed to defraud or estort.

These categories are applied to all arson cases for which an arrest is made. Table 16 presents the distribution broken down by jurisdiction, along with the total number of persons arrested under each category. This distribution reflects the frequency and the relative difficulty of detecting and clearing the different types of arson. Police officials indicated that arsons committed for profit or to cover another crime are difficult to detect because they normallly involve premeditation. Vandalism arson and pyromania cases are easier to detect and clear because they are committed with little premeditation. In the case of arson for revenge the motive often enables the police to identify the person responsible. Thus, the figures presented below probably *underestimate* the relative frequency of profit-related and cover-up arsons. Such arsons are more likely to be classified as accidental fires or fires of unknown cause.

TABLE 16. PRESUMED MOTIVES OF PERSONS ARRESTED FOR ARSON, BY JURISDICTION: 1978.

Presumed Motive	Central City		Parkville		Farmington County		Region (Total)	
	Number	%	Number	%	Number	%	Number	%
TOTAL: ALL ARSONS								
• Cases	239	100.0	10	100.0	119	100.0	368	100.0
• Arrests	279	100.0	15	100.0	180	100.0	474	100.0
VANDALISM								
• Cases	100	41.8	7	70.0	48	40.3	155	42.1
• Arrests	140	50.2	12	80.0	106	58.9	258	54.4
REVENGE								
• Cases	55	23.0	0	0.0	32	26.9	87	23.6
• Arrests	55	19.7	0	0.0	35	19.4	90	19.0
COVER-UP								
• Cases	34	14.2	0	0.0	18	15.1	52	14.1
• Arrests	34	12.2	0	0.0	18	10.0	52	11.0
PYROMANIA								
• Cases	33	13.8	3	30.0	14	11.8	50	13.6
• Arrests	33	11.8	3	20.0	14	7.8	50	10.5
FOR PROFIT								
• Cases	17	7.1	0	0.0	7	5.9	24	6.5
• Arrests	17	6.1	0	0.0	7	3.9	24	5.1

3.7.1 Vandalism Arson

The most prevalent form of arson involves the setting of fires for the sole purpose of destroying property. This form of arson is most often committed by juveniles. In 1978, 82 percent of all *juvenile arson* arrests were for vandalism related incidents.

Among juveniles the most common explanation is adolescent thrill-seeking--a desire to destroy property for excitement. A contributing factor to juvenile arson is a marked ignorance of the consequences of the act in terms of possible loss of life, injury, and financial loss. This factor is particularly evident in the case of pre-adolescents where a fascination with fire is common. Arson committed by juvenile vandals is frequently carried out in groups. In some areas of Central City the police department attributes a large proportion of vandalism arsons to juvenile gangs.

Adult vandalism arson is often associated with intoxication. Adults are less likely to act in large groups than juveniles, but the same motives as juveniles--general thrill-seeking or a desire to relieve frustration, with the contributing effect of alcohol or drugs--are associated with adult vandalism arson.

3.7.2 Revenge Arson

Almost any form of conflict--neighbor versus neighbor, customer versus storeowner, employee versus employer, or tenant versus landlord--could result in an arson. No single situation or factor is associated with revenge arsons. Persons arrested for this crime tended to be older--only 6.7 percent of those arrested were under age 18.

3.7.3 Pyromania

As used here the term "pyromania" refers to all forms of fire-setting behavior resulting from psychological disorders.

Juveniles made up approximately two-thirds of all persons arrested for pyromania in 1978. Juvenile pyromaniacs come from all areas and socio-economic levels in the community. The array

of psychological and personality factors associated with fire-setting is very broad. There is no decisive evidence pointing to a single cause or set of causes.

In many instances there is a fine line between the so-called revenge arsonist and the pyromaniac. A recent study of cases classified as revenge-motivated arson showed that the "wrongs" being avenged by the arsonist were often delusional. Similarly, many juvenile vandalism fires may also be the result of psychological disorders.

3.7.4 Arson to Cover Crime

Little systematic information is available on the use of arson to destroy the evidence of other crimes. Crimes such as homocide and burglary are sometimes covered-up through the use of fires. However, police and prosecutors tend to focus on the more serious crimes when making formal charges. Thus, the number of arsons in this category is probably underestimated.

3.7.5 Arson for Profit

Arson for profit is defined as deliberately setting a fire in order to defraud or extort. The most common situation involves a person setting fire to his or her property in order to collect on the insurance benefits. Arson for profit schemes arise most often where the value of property is less than its insured value--a situation called *overinsurance*. Overinsurance may occur when property values in an area have dropped rapidly. Businesses with excessive inventories may use arson as a means of liquidating assets when they cannot sell their inventory without a loss. Overinsurance may also occur when the real value of the property is fraudulently inflated. Fire and police officials in the Region are certain that the number of arson-for-profit fires far exceeds the number actually detected. Insurance companies estimated that 20 to 30 percent of their fire insurance benefits are paid for fraudulent claims.

Most arson-for-profit schemes involve only the owners of the property. However, a second party is often employed by an owner to set the fire as a way of avoiding suspicion. Professional arsonists are usually skilled in disguising the origin of the fires they set. In many instances such a crime could not be detected except by a trained arson investigator.

A significant factor contributing to the use of arson-for-profit is the low level of risk to the arsonist. Arson-for-profit schemes are difficult to detect, complicated to investigate, and difficult to prove in court. A hostile attitude on the part of certain segments of the public toward the insurance industry often makes it difficult for prosecutors to locate witnesses or convince a jury to convict. When a conviction is obtained, the courts are unable to impose severe sentences because arson-for-profit is considered to be a "white-collar" property crime under the law.

3.7.6 Other Factors

Other factors that are thought to contribute to the arson problem in this Region include:

- Current arson prevention practices
- Current levels of public awareness and participation

3.7.6.1 Arson Prevention Practices

Current arson prevention practices, involve efforts made to remove or reduce opportunities for persons to commit arson. According to fire prevention officials, business and individuals that could become the target of arson often fail to take steps to reduce their risk such as preventing unauthorized persons from gaining access to their premises, or safely storing materials that can be used to start fires. These practices provide opportunities for arsons and increase the difficulty of distinguishing arson from accidental fires.

3.7.6.2 Public Awareness and Participation

Current levels of public awareness and participation in arson control, as noted earlier, is low. Many persons do not consider arson to be a serious problem, and most people underestimate the number or the costs of arson to the Region or to themselves. Many were unaware that setting fire to one's own property to collect on the insurance was a criminal offense. This appears to confirm the opinion of fire prevention officials that *persons in this area are generally not motivated to take steps to reduce the risk of arson.*

4.0 Discussion of the Findings

This discussion will follow the six questions formulated out of the general concerns and the additional examination of the economic, social, and psychological factors related to arson: They are

- To what extent has there been an increase in the number of arsons being committed?
- What agencies are responsible for the control of arson, and how do they operate?
- What indications are there of the effectiveness of current arson control efforts?
- What are the individual costs and consequences of arson?
- What are the costs and consequences of arson to the local governments?
- What are the long-range effects of arson on the region?

4.1 Incidence of Arson

The data indicate that arson has increased in the Region and in each of the constituent jurisdictions over the past five years. The most rapid increase has been in Parkville, where the number of arsons has almost doubled; the slowest increase has been in Central City where the number and rate of arsons has remained high but constant. However, no precise statement can be made about the actual level of arson in the Region because of serious deficiencies in the official record-keeping

system and the apparently high number of arsons not detected by or reported to public agencies.

Other major findings concerning the incidence of arson are:

- The majority of reported arson fires occurred in residential locations.
- The most frequent target of arson is the occupied residential building.

4.2 Current Efforts to Control Arson

The current system to control arson consists of seven units of local government and one unit of State government. In addition, two local- and two State-level agencies have a distinct but secondary role in arson-related efforts. The agencies are involved in three primary functions,

- Arson Detection - which is primarily carried out by local fire departments;
- Arson Investigation - which is carried out by both law enforcement and prosecutional agencies;
- Arson Prosecution - which is carried out by the Farmington County Prosecutors Office.

At present the system operates with no centralized coordinating body or standardized policies or procedures. Only one of the agencies, the Central City Fire Department, maintains a unit with specific responsibilities in the control of arson--the Fire Investigation Unit. In the remaining agencies responsibilities are delegated on an ad hoc basis to units or individuals with other primary duties.

Other major findings concerning the current arson control system are:

- Persons responsible for carrying out arson-control functions are generally not trained specifically in those functions;
- Equipment and facilities for arson control is generally old and about fifteen years behind the state-of-the-art;
- Fire analysis facilities are not available locally, resulting in considerable delays in the analysis of arson evidence;

- There is no standardized or centralized repository of arson-related information to be used by decision makers or arson investigators;
- State law places apparently strict restraints on the ability of investigators to gather and share information on suspected arsonists.

4.3 The Effectiveness of the Arson Control System

The data indicate that the current arson control system is substantially ineffective in detecting, investigating, and prosecuting arson cases. These deficiencies can be linked, at least in part to the findings described above.

- Only a very small percentage of all fires are given the full investigation that is necessary to detect many types of arson (e.g. arson-for-profit).
- Almost a third of all arson cases reported by the fire department to police or prosecutors are not pursued because of a lack of evidence, lack of suspects, or lack of available manpower.
- Although the police clear approximately 25 percent of all arson cases with an arrest, the arrestees are primarily juvenile offenders. Almost 10 percent of all arrests are of juveniles age 10 or younger.
- Of those arrested less than half are eventually prosecuted. Of those prosecuted, 75 percent are juveniles and only 25 percent are adults. Less than 12 percent of all adults arrested for arson are held for prosecution.
- Of those adults that are prosecuted less than one-fourth are convicted and only a small proportion of these are incarcerated. (In 1978, out of 254 adult arrests for arson, only one person was sentenced to prison for arson).

4.4 Personal Costs of Arson

The data indicate that arson imposes a significant financial and safety cost on local residents. In 1978, arson cost local residents over $5 million in property losses--approximately 20 percent of all fire-related losses. In addition, arson caused 133 serious physical injuries and four deaths. These costs are only for known arson incidents.

4.5 Cost to Local Government

The data indicate that arson imposes a significant cost to local government in the form of lost property tax revenues and increased public expenditures. Property tax losses amounted to over $170,000, arson control efforts cost over $980,000 and additional emergency and public assistance to arson victims cost over $1.8 million. It should be noted that under the arson control category over two-thirds of the money is spent only on suppressing the fires set by arsonists. In 1978, only $330,000 was spent on detecting, investigating, and prosecuting arson cases.

4.6 Long-Range Impact of Arson

The data indicate that arson poses a potentially significant threat to the long-term welfare of the Region. In terms of destroyed or damaged businesses, lost wages, destroyed or damaged housing, and displaced residents, the cost of arson is high. However, for the immediate future, arson has not had a serious impact on overall property values or the level of business activity except in those areas with a high incidence of arson. It should be noted that, while arson is not the only factor, it does contribute to the overall loss of residents and business activity, particularly in Central City. In that sense, it may pose a threat to the current effort to revitalize Central City's central business district.

4.7 Causes of Arson

Arson is not a simple crime. The motives for committing arson include deliberate vandalism, revenge, psychological disorder, a desire to cover-up evidence of other crimes, and an intent to defraud or extort. Vandalism is the most common form of arson and is committed most often by juveniles. Revenge arson and arson resulting form psychological disorder are also common. However, information on arson-for-profit and cover-up arson is limited, primarily because these forms of arson are more difficult to detect and presecute. Police, fire, and insurance experts indicate that these crimes are probably much more prevelent than is reflected in official statistics.

Juveniles make up the largest group of arsonists; both vandalism arson and pyromania arson are committed most often by juveniles. Revenge arson, arson-for-profit, and cover-up arson are carried out primarily by adults.

The psychological and social roots of arson are varied. Vandalism arson is most often associated with adolescent and pre-adolescent thrill-seeking. There are no definitive theories concerning the roots of pyromania--a variety of social and psychological factors, common to many forms of psychological disorder, have been identified. Revenge arson is the product of a variety of interpersonal conflicts: personality, economic, racial, and family. Little is known about cover-up arson beyond its link to a variety of violent and property crimes. Arson-for-profit appears to be the most calculated form of arson and is most often linked to conditions that cause property values to be less than insured values, including fraudulent inflation of property values.

Other factors which contribute to the instance of arson include the lack of public awareness of and participation in arson control and arson prevention efforts. Based on surveys of individuals and businesses, it was determined that the public is generally not motivated to take the steps necessary to reduce the risk of arson to themselves or others.

5.0 Summary

- Arson has increased in the Region over the last five years.
- Responsibility for the control of arson is scattered among a variety of autonomous and uncoordinated agencies.
- The current arson control system is inadequate to respond to the current level of arson activity.
- Arson imposes a significant financial and safety cost on local residents.
- Arson imposes a significant financial burden on local governments in the form of lost revenues and additional services.
- Arson poses a potentially significant threat to the long-term welfare of the Region
- The causes of arson are varied and complex--no single factor or set of factors can be associated with the problem in the Region.

WORKSHEET

Developing an Understanding of the Problem

1. Comprehensiveness of Description:

Question - Does the Problem Statement provide information on the important components of the problem: the nature, magnitude, seriousness, rate of change, persons affected, spatial aspects, temporal aspects, system response and origins? What other information would be useful for an understanding of the problem?

2. Completeness of Explanation:

Question - Can the components of the problem described in the Problem Statement be categorized as: presumed cause, primary effect, secondary effect, and system response components? Identify examples of each.

Presumed Causes:

Primary Effects:

Secondary Effects:

System Response:

3. Logic of Explanation:

Question - What relationships between components of the problem does the Problem Statement indicate or imply? Describe and explain some of the more important relationships.

4. Boundaries of the Problem:

Question - What are the boundaries of the arson problem as described and explained by the Problem Statement? Are these boundaries too broad, too narrow, or about right for purposes of developing a program?

Module 3

DEVELOPING STRATEGIC GOALS

Module III
Developing Strategic Goals

PARTICIPANT GUIDE

TITLE — Developing Strategic Goals

PURPOSE

To provide an understanding of the process of developing goals. To explain the importance, purpose, and consequences of goal-setting. To provide an opportunity to practice goal development skills. To learn how to use the Nominal Group Technique.

OBJECTIVES

At the completion of this Module the participants will be able to:

- Describe the role of the program developer in developing and selecting strategic goals.
- Explain the purpose of strategic goals in program development.
- Describe the different types and levels of goals in program development.
- Describe the distinction between goals and objectives.
- Explain the strategic goal development process.
- Use the Problem Statement to identify potential strategic goals.
- Explain the importance of developing integrated strategic goals.
- Draft strategic goals in an acceptable format.
- Describe the components of the Strategic Goal Decision Package.
- Use the Nominal Group Technique to identify the major aspects of a problem.

DESCRIPTION

This module consists of one lecture segment (A) and one workshop segment (B). The lecture should require no more than one and one half hours to complete. The exercise should require no more than 3.5 hours to complete, including a final class discussion.

Module III: Developing Strategic Goals
Outline

OUTLINE

1. Review and Introduction
2. The Role of the Program Developer in the Development of Strategic Goals
3. Types and Levels of Goals
4. Strategic Goals
5. Strategic Goals and Objectives
6. The Purpose of Strategic Goals in Program Development
7. The Strategic Goal Development Process
8. Using the Problem Statement to Identify Potential Strategic Goals
9. Desk Activity - Identifying Potential Strategic Goals from a Problem Statement
10. The Importance of Developing Integrated Strategic Goals
11. Drafting Goal Statements
12. Preparing the Strategic Goal Decision Package
13. Summary and Review

PARTICIPANT GUIDE

Notes and Questions

1. Review and Introduction.

2. The Role of the Program Developer in the Development of Strategic Goals.

3. Types and Levels of Goals.

a. Normative Goals are considered the highest order or level of goals.

Notes and Questions

4. Strategic Goals.

- o Strategic goals are usually more specific than normative goals.
- o Strategic goals represent concrete ideas about what can be accomplished in relation to a particular problem.

5. Strategic Goals and Objectives.

- As defined, a goal is:
  - A desired furture state expressed as results to be achieved, usually general, and not time-bound.

- As defined, an objective is:
  - A specific condition to be attained by a specific set of activities, stated in time-limited and measurable terms.

Notes and Questions

6. The Purpose of Strategic Goals in Program Development.

   a. The purpose of Strategic goals in program development is to focus attention on the end points of the program.

(Copy of Visual on next page.)

7. The Strategic Goal Development Process.

   a. There are three steps involved in strategic goal development:

   - Identifying potential strategic goals.
   - Drafting the strategic goal statements.
   - Developing the strategic goal decision package.

8. Using the Problem Statement to Identify Potential Strategic Goals.

   a. Specifically, <u>strategic goals should reflect the most important components of the problem as indicated in the problem statement</u>.

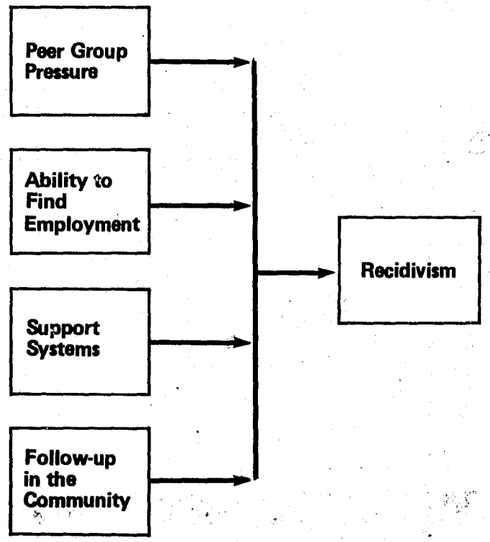
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GOALS AND OBJECTIVES

Visual III-B

Visual B
Module III

STRATEGIC GOALS SHOULD REFLECT THE IMPORTANT COMPONENTS OF THE PROBLEM



III-A-11a

9. Desk Activity - Identifying Potential Strategic Goals from a Problem Statement.

Read the following summary abstract of a Problem Statement. From the Problem Statement identify the components of the problem. List your answers on the lines below the Statement Abstract. Take 10 minutes for this step.

Problem Statement on Low Conviction Rates in the City: Abstract

A review of court and prosecutor files indicates that there has been a gradual decline in the percentage of cases successfully prosecuted in this city. The current percentage is significantly lower than the national average and the average of other cities of a comparable size. Prosecutors' records indicate that a substantial number of cases are lost because witnesses fail to appear in court to testify. Prosecutors are uncertain of the reasons for this behavior, but suggested that it was probably a combination of practical inconveniences to witnesses and a poor attitude toward the criminal justice system.

Judges indicated in interviews that prosecutors frequently appear unprepared in the courtroom and that many cases are dismissed because prosecutors fail to meet deadlines for filing charges, motions, and appeals. Prosecutor workloads are significantly higher than the national average and are aggravated by a lack of adequate clerical and secretarial support staffs. A high turnover rate among prosecutors in the city has increased the number of inexperienced prosecutors on the staff. However, prosecutors indicate that they are often asked to pursue cases based on inaccurate or incomplete police reports and evidence that has been improperly gathered and preserved. Recent time limits established to speed up the trial process have also apparently placed a substantial burden on prosecutors' ability to prepare cases for prosecution.

Components:

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

Review the components you listed above and identify what you consider to be the major components of this problem. List them below. Take 5 minutes for this step.

A. _____

B. _____

C. _____

Notes and Questions

10. The Importance of Developing Integrated Strategic Goals.

    a. The strategic goals selected for further development should reflect a basic policy-orientation toward the problem.

    b. Goals should be selected that, taken together, tend to enhance the effectiveness of other parts.

11. Drafting Goal Statements.

    a. The format of a goal statement is:

    - An action verb (a) followed by
    - A statement of what is to be accomplished (b).

Notes and Questions

b. The characteristics of a good strategic goal statement are:

- Clarity.
- Specific to the problem (not all-purpose-standards-and-goals type goals).
- Reflect agreement among interested parties.
- Flexible.
- Not restrictive.
- Not too ambitious.
- Positive.

12. Preparing the Strategic Goal Decision Package.

a. At this point in the process the strategic goals selected for further development are still only potential goals.

Notes and Questions

b. To facilitate this decision the program developer should prepare a decision package which summarizes the work that has been completed to this point, and lay out the options to the person(s) who will make the decision.

c. The decision package should consist of the following items:

- The normative goal statement which the strategic goal addresses.
- Abstracts of the portions of the Problem Statement out of which the strategic goals were identified.
- A listing and a brief description of the major aspects of the problem drawn from the Problem Statement.
- The strategic goals statements.

(Example of Decision Package on following page.)

13. Summary and Review.

ALTERNATIVE STRATEGIC GOAL DECISION PACKAGE

A. Normative Goal: To reduce crime in the Downtown Business District of Gotham City

B. Problem Summary: In the five-year period from 1973-78, the increase in index crimes in this area was 46.57%, an alarming rise and a full 20% greater than the city-wide increase of 26.29%. The crime problem in this area appears to be having a devastating impact on both the businesses in the downtown area and many of the people who are compelled to shop here.

C. Important Components of the Problem:

Based on an assessment of the Problem Statement for the Downtown Business District, the following appear to be the major factors contributing to this problem:

1. Juveniles engaging in criminal behavior
2. Vulnerability of potential "targets" of crime
3. Inadequate crime deterrent and response capability by criminal justice agencies dealing with the Downtown Business District
4. Ready availability of handguns to potential offenders

D. Proposed Alternative Strategic Goals:

1. Improve juvenile justice apprehension and treatment capacities
2. "Harden" potential crime targets in the Downtown Business District
3. Upgrade crime deterrent and response capability of criminal justice agencies dealing with crime in the Downtown Business District
4. Reduce the availability of handguns to potential offenders.

Module III: Developing Strategic Goals
Segment B - Workshop on the Nominal Group Technique

Normative Goal: To reduce the number and consequences of arson fires in the Central City Region.

Nominal Group Technique Question:

WHAT ARE THE IMPORTANT COMPONENTS OF THE ARSON PROBLEM IN THE CENTRAL CITY REGION, AS IT IS DESCRIBED IN THE PROBLEM STATEMENT?

NOMINAL GROUP TECHNIQUE
RATING SHEET

ID #	STATEMENT	RATING: Less Important									More Important
( )	_____	1	2	3	4	5	6	7	8	9	10
( )	_____	1	2	3	4	5	6	7	8	9	10
( )	_____	1	2	3	4	5	6	7	8	9	10
( )	_____	1	2	3	4	5	6	7	8	9	10
( )	_____	1	2	2	4	5	6	7	8	9	10
( )	_____	1	2	3	4	5	6	7	8	9	10
( )	_____	1	2	3	4	5	6	7	8	9	10
( )	_____	1	2	3	4	5	6	7	8	9	10
( )	_____	1	2	3	4	5	6	7	8	9	10
( )	_____	1	2	3	4	5	6	7	8	9	10

ALTERNATIVE

STRATEGIC GOAL DECISION PACKAGE FORM

III-B-3

Arson Problem

Normative Goal: To reduce the number and consequences of arson fires in the Central City Region.

- The Strategic Goal Statement: _____

- The important component(s) of the Problem Addressed by the Strategic Goal: (Describe) _____

- The Portion of the Problem Statement Providing the Basis for the Strategic Goal: (Cite) _____

III-B-3a

- How the Strategic Goal Relates to the Normative Goal: (Explain) _____

Module 4

DEVELOPING THE LOGIC OF DIFFERENT PROGRAM STRATEGIES

Module IV
Developing the Logic of Different Strategies

PARTICIPANT GUIDE

TITLE — Developing the Logic of Different Strategies

PURPOSE

To provide an understanding of the process for identifying and developing logical strategies to meet strategic goals. To develop a critical attitude toward the logic of different strategies and to select those that are most effective.

OBJECTIVES

At the completion of the Module, participants will be able to:

- State the importance of seeking information to assist in identifying strategies.
- Relate strategies to strategic goals.
- Analyze and describe the logic of different strategies.
- Apply criteria for assessing the relative strength of different logics.
- Prepare a decision package to select strategies that will meet the strategic goals.

DESCRIPTION

This module consists of a lecture segment (A) that will require about three hours to deliver. Several desk activities are included in this segment. The module ends with a Workshop Segment (B) that will take about four hours to complete.

Outline of Module IV

Developing the Logic of Different Strategies

Segment A.

1. Review and Introduction
2. The Role of the Program Developer in Developing Strategies
3. Collecting and Assessing Information on Different Courses of Action
4. The Importance of Developing Alternate or Optional Strategies
5. What Is a Strategy?
6. The Two Approaches to Developing Strategies
7. Desk Activity--Using the Problem Statement to Develop Strategies
8. Using the Strategic Goal to Develop Strategies
9. Walkthrough--Identifying Aleternative Strategies using the Strategic Goal
10. Assessing the Logic of Strategies
11. Walkthrough--Assessing the Logic of Strategies
12. Desk Activity--Assessing the Logic of Strategies
13. The Importance of Integrating Strategies
14. Preparing the Alternative Strategy Decision Package
15. Summary and Review

Segment A PARTICIPANT GUIDE

	Notes and Questions
1. Review and Introduction.	
a. In this module we will discuss the following topics: ● The role of the program developer in developing strategies ● Collecting and assessing information on different courses of action ● The importance of developing alternate or optional strategies ● Defining what is meant by the term "strategy" ● The two approaches to developing strategies. ● Assessing the logic of different strategies ● The importance of integrating strategies ● Developing the strategy selection decision package	

Notes and Questions

2. The Role of the Program Developer in Developing Strategies

3. Collecting and Assessing Information on Different Courses of Action.

   a. Just as the program developer needs a detailed understanding of the problem, so too, the program developer needs detailed information about the different strategies that might be available to him or her.

   b. There are numerous sources of information available to the program developer. They include:

- Experts in the planning agency
- Reports and records maintained by the agency
- Persons in other public agencies, including persons in non-criminal justice areas
- Professional associations in areas relevant to certain problems

Notes and Questions

- Research and evaluation literature
- Professional journals and magazines
- LEAA-supported information sources (e.g., National Criminal Justice Reference Service)
- Professional and private consultants
- Persons in agencies who have implemented programs in the same or a similar area

4. The Importance of Developing Alternate or Optional Strategies.

5. What is a Strategy?

   a. A strategy is a general approach to the accomplishment of a particular set of conditions or results implied or specified in a strategic goal.

Notes and Questions

b. A strategy encompasses a variety of possible interventions or elements. An element is an activity or set of activities that implement the strategy or some part of the strategy.

6. The Two Approaches to Developing Strategies

a. There are two basic ways to develop a strategy:

- Working forward from the facts of the problem toward the goals.
- Working backward from the goals to the solution.

7. *Desk Activity - Using the Problem Statement to Develop Strategies*

Read the decision package below. Based on the information it contains, develop as many different strategies as you can. Write your ideas on the lines provided. Take 10 minutes for this step.

Decision Package

Normative Goal: To increase the conviction rate in this city

Strategic Goal: To improve the efficiency and effectiveness of prosecutors' preparations for court trials

Problem Statement Abstract: The level of prosecutor preparation is a major aspect of the low conviction rate problem. Prosecutors currently work under a higher than average workload and lack adequate clerical and secretarial support. Due to a high turnover rate, a high proportion of prosecutors are relatively inexperienced. These factors are aggravated by judicial rules which reduce the amount of time available for trial preparations. Because of these conditions, prosecutors are frequently not prepared when they appear in court resulting in acquittals, dismissals and missed deadlines.

Problem Components:

1. Prosecutor workloads
2. Level of clerical and secretarial support
3. Prosecutor turnover
4. Level of prosecutor experience
5. Judicial time limit rules

In the left-hand column, identify potential elements based on the components of the problem. In the right-hand column, list some possible strategies which are suggested by the elements.

Potential Elements	Possible Strategies
A.	1.
B.	2.
C.	3.
D.	4.
E.	5.
F.	6.
G.	7.
H.	8.
I.	9.
J.	10.
K.	11.
L.	12.
M.	13.
N.	14.
O.	15.
P.	16.
Q.	17.
R.	18.

Using the Strategic Goal to Identifying Strategies

a. Working backward from the strategic goal toward the problem.

Walkthrough.

Assessing the Logic of Strategies.

a. The purpose of this assessment is:

- To eliminate strategies which are clearly illogical, and
- To identify potential strengths and weaknesses in the logic of a strategy.

b. The general format of the logic of a strategy is: "If I do 'X' then 'Y' will be the result."

Notes and Questions

(Copies of Visuals are on the following pages.)

Visual A
(Module IV)

PROBLEM

Conviction Rate in Jurisdiction Too Low

NORMATIVE GOAL

We Should Increase Conviction Rate in Jurisdiction

3 COMPONENTS OF THE PROBLEM OF LOW CONVICTION RATE

1. Witnesses often fail to appear in court to testify.

2. Prosecutors do not have adequate time to prepare cases properly.

3. Police often prepare poor reports.

Visual C
(Module IV)

COMPONENT		STRATEGIC GOAL
1. Witnesses fail to testify	→	Increase number of witnesses who appear in court to testify.
2. Prosecutors do not have time to prepare cases properly	→	Reduce prosecutor caseload and/or increase efficiency of work.
3. Police prepare poor reports	→	Improve the quality of police report perparation.

IV-A-7c

Visual D
(Module IV)

STRATEGIC GOAL

Increase the number of witnesses

who appear in court to testify

Notes and Questions

c. The first step in assessing the logic of a problem is to identify the assumptions the strategy makes.

d. The second step in assessing the logic of a strategy is to <u>test the reasonableness</u> of the assumptions. Among the questions that could be asked are:

- Is there any evidence which supports or contradicts the assumption?
- How limited or general is the assumption?
- Are there any additional or special conditions necessary for the assumption to work?
- How close are the links between the events that are assumed to occur in the strategy?
- Are there any other assumptions that could be made about the strategy?
- How many steps or assumptions are in the rationale?

I

RATIONALE OF THE 'PENALTY' STRATEGY: INITIAL

Some persons do not testify because of an absence of penalties → Penalties are attached to not testifying → More witnesses will show up in court (Strategic Goal) → More witnesses will give evidence → More defendents are convicted (Normative Goal)

12. Desk Activity - Assessing the Logic of Strategies

Directions: In the space below, identify the assumptions behind the strategy of providing conveniences to witnesses as a way to meet the strategic goal. Refer to the questions in your Guide to help you identify these assumptions.

Normative Goal: Increase the conviction rate in the jurisdiction.

Strategic Goal: Increase the number of witnesses who appear in court to testify.

ASSUMPTIONS

1. _____

_____

2. _____

_____

3. _____

_____

4. _____

_____

5. _____

_____

RATIONALE

In the space below, sketch out the rationale of this strategy, following the format shown in your Guide on page IV-A-9.

ASSESSMENT QUESTIONS

- What evidence is there to support or contradict the assumption in the Problem Statement or other sources?
- Is the assumption true in all cases or only in some cases?
- What special or additional conditions must be present for the assumption to be correct? What conditions are they, and how often are they likely to exist?
- Is the amount of time between the different events in the assumed sequence long or short?
- What other assumptions could be made about the strategy? What other effects might the strategy produce?
- How many steps or assumptions are there in the rationale?

Completed Rationale

In the space below, sketch out the completed rationale, based on the initial rationale and the assessment. Refer to the completed rationale in the Walkthrough as a guide.

Notes and Questions

13. The Importance of Integrating Strategies.

a. Just as different goals can conflict with each other, so too, different strategies can be incompatible.

14. Preparing the Alternative Strategy Decision Package.

a. The decision package should consist of the following items, from the earlier strategic goal decision package:

- The normative goal statement
- A listing of all strategic goals selected for further development at the earlier decision point
- Abstracts of those portions of the Problem Statement relating to the strategic goals
- A listing of the major aspects of the problem derived from the Problem Statement relating to each of the strategic goals

Notes and Questions

b. The new materials to be included in the decision package are:

- A statement of one or two sentences describing each potential strategy proposed to meet each strategic goal
- A listing of potential elements to carry out each strategy
- The rationale of each strategy
- An assessment of the strengths and weaknesses of each proposed strategy

(An example of this new material in the Decision Package is on the following two pages.)

15. Summary and Review.

ALTERNATIVE STRATEGIC GOAL DECISION PACKAGE

Note: This is a continuation of the Decision Package shown in Module III.

E. Strategic Goal (#4):

To "harden" potential crime targets in the Downtown Business District.

F. Proposed Strategy:

To provide downtown businessmen with knowledge and skills necessary to improve their security practices.

G. Proposed Elements:

(1) Create a Crime Prevention Unit in the police department to assist downtown merchants in target-hardening.

(2) Provide merchants with a no-cost, voluntary, on-site security inspection to advise on changes made and/or on needed additional security precautions.

H. Strategy Rationale:

- Downtown businesses are not sufficiently "hardened" to discourage crime.
- Downtown merchants need and will use assistance on target hardening.
- The Crime Prevention Unit will be able to provide needed assistance, knowledge, and skills to merchants.
- Downtown merchants will improve the hardening of their businesses against crime.
- Criminals will be unable to commit crimes against these businesses in the downtown area.
- The crime rate in the downtown area will decline.

I. Assessment of Strengths and Weaknesses:

The data suggest that large numbers of businesses in the Downtown area are vulnerable to crime and that merchants would welcome additional knowledge about improving their security. A specialized unit in the police department would provide more

and better information to merchants than any current effort in the department. However, it is not certain that merchants can or will actually "harden" their businesses because of financial costs and the fact that additional hardening might reinforce the fear of customers that it is unsafe to shop downtown. Presuming that a significant number of merchants participate in the program, there should be a reduction in crimes in and around the downtown stores. However, it is possible that the program may displace some criminal activity into adjacent areas of the downtown. Some integration between this element and the second element (on-site inspection) seems to be in the best interests of both of them. What is learned in the visits to merchants should be of help to the CPU in improving the effectiveness of their work--particularly in the areas of resistance to change and identify what is effective and what is not.

Segment B: Workshop

PARTICIPANT GUIDE

1. The workshop will be carried out in six steps:

Step 1.
You will identify possible strategies using the problem statement, and making use of the decision package materials developed in the previous workshop.
(Time allowed: 30 minutes)

Step 2.
You will identify additional possible strategies using the strategic goal as described and practised in the lecture.
(Time allowed: 30 minutes)

Step 3.
You will select two of the strategies identified in the previous steps and identify the assumptions behind each.
(Time allowed: 30 minutes)

Step 4.
You will assess each of the assumptions in the two strategies, using the questions suggested in the lecture.
(Time allowed: 60 minutes)

Step 5.
You will develop a rationale for both strategies following the format discussed in the lecture.
(Time allowed: 30 minutes)

Step 6.
You will prepare a presentation following the format for the strategy selection decision package as described in the lecture.
(Time allowed: 30 minutes)

Module 5

PLANNING THE PROGRAM STRATEGIES

Module V
Planning the Details of Program Strategies

PARTICIPANT GUIDE

TITLE

Planning the Details of Program Strategies

PURPOSE

To describe the process of converting a set of logically defined strategies into an implementation plan. To provide practice in preparing sections of an implementation plan.

OBJECTIVES

At the completion of the Module, participants will be able to:

- Use MOR to describe inputs, activities, results, and outcomes of specific interventions.
- Expand MOR to develop elements of specific interventions.
- Predict impacts outside and within the program, and design measures to handle them.
- Prepare a network schedule for the program and its elements.
- Prepare program objectives.
- Estimate resource and budget needs.
- Describe the components of a full decision package.

DESCRIPTION

The Module consists of a lecture segment (A) of 2 hours, followed by a workshop (B) of 5 hours including debriefing; another lecture segment (C) of 2 hours, and a final workshop (D) requiring about 4 hours, including debriefing.

Outline of Module V

Planning the Details of Program Strategies

Segment A

1. Review and Introduction
2. The Role of the Program Developer in Planning the Details of Strategies
3. Developing and Assessing the Elements of a Strategy
4. Criteria for Assessing Program Elements
5. Applying the Criteria for Assessing Program Elements
6. Developing the Detail of Program Elements
7. Applying the MOR to the Design of an Element: Identifying Activities
8. Applying the MOR to the Design of an Element: Identifying Inputs
9. Walkthrough--Applying the MOR to the Design of an Element: Identifying Activities and Inputs
10. Applying the MOR to the Design of an Element: Identifying and Assessing Results

Segment C

1. Review and Introduction
2. Identifying and Assessing the Impact of the Program on the Existing System
3. Identifying and Assessing the Internal Impact of Program Elements
4. Networking and Scheduling the Program Elements
5. Networking: Ordering the Activities of an Element
6. Networking: The Duration of Elements
7. Networking: Dates and Milestones
8. Desk Activity--Networking and Scheduling the Program Elements
9. Developing Objectives for the Elements of a Program
10. Desk Activity--Developing Objectives for the Elements of a Program
11. Developing the Program's Resources and Budget
12. Preparing the Decision Package
13. Summary and Review

PARTICIPANT GUIDE

Notes and Questions

1. Review and Introduction.

2. The Role of the Program Developer in Planning the Details of Strategies.

3. Developing and Assessing the Elements of a Strategy.

   a. An element is a specific activity or set of activities intended to carry out a particular strategy. An element could be a project or a set of projects performing the same function. An element could also be a single activity carried out only once.

Notes and Questions

   b. The technique to be used to expand the list of potential elements is essentially the same technique used to identify strategies.

4. Criteria for Assessing Strategic Elements

   a. Each element can be assessed against five criteria:

   - Effectiveness
   - Practicality
   - Acceptability
   - Evaluability
   - Cost

   b. Effectiveness asks "how well will it work?"

Notes and Questions

c. Practicability asks "can it be done--and how easily?"

d. Acceptability asks, "is the element agreeable to the public and political powers?"

e. Evaluability asks, "can the contribution of the proposed element to results or outcomes be found?"

f. Cost asks, "how expensive is it?"

Notes and Questions

5. Applying the Criteria for Assessing Strategic Elements.

   a. Applying the criteria discussed here to specific elements would, of course, depend heavily on two factors:

   - The amount and quality of information available to the program developer related to each of the criteria.
   - Local conditions and circumstances relating to the criteria.

6. Developing the Detail of Program Elements.

   a. The technique we will use to develop and organize the details of the elements is called the Method of Rationales (MOR).

Notes and Questions

b. The MOR divides the parts of a program element into four categories:

- inputs,
- activities,
- results, and
- outcomes.

(Copy of Visual on next page.)

c. The first category: Inputs are the people and things required to make the element work.

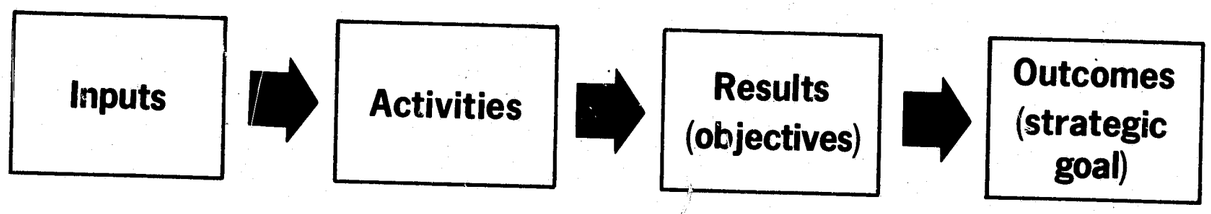
d. The second category: Activities are the operations and processes of the element.

e. The third category: Results are the short-term effects of the activities.

- When results are expressed in quantified and time-bound terms, they are called objectives.

(Module V)
Visual A

COMPONENTS OF THE METHOD OF RATIONALES



Notes and Questions

f. The fourth category: Outcomes is the desired longer-range effects of the program

7. Applying the MOR to the Design of an Element: Identifying Activities.

8. Applying the MOR to the Design of an Element: Identifying Inputs.
   - Inputs can be divided into two broad classes: people and things.

9. Walkthrough - Applying the MOR to the Design of an Element: Identifying Activities and Inputs.

Notes and Questions

10. Applying the MOR to the Design of an Element: Identifying and Assessing Results.

a. Identifying the results of an activity is a straightforward projection of the activity, described in terms of products rather than as a process.

b. At this stage the program developer should be concerned about two aspects of the results the activities should achieve:
   - The magnitude of the results (e.g., the number of juveniles counseled) and
   - The logical relationship of the results to the strategic goal and the strategy.

Segment B: Workshop on Planning the Details of Program Strategies, Part 1.

PARTICIPANT GUIDE

1. The workshop will be carried out in seven steps.

- Step 1. You will expand the list of potential elements under the assigned strategy.
  (30 minutes)
- Step 2. You will assess the elements, applying the five criteria discussed in the lecture.
  (45 minutes)
- Step 3. You will select one element from the list of potential elements.
  (15 minutes)
- Step 4. You will identify the activities necessary to implement the selected element.
  (30 minutes)
- Step 5. You will identify the inputs necessary to support the activities.
  (15 minutes)
- Step 6. You will identify and assess the results of the activities.
  (30 minutes)
- Step 7. You will prepare a presentation for the group.
  (15 minutes)

- Total time allowed for this workshop is 3 hours.

Module V: Workshop
Worksheet 1

POTENTIAL ELEMENT ASSESSMENT FORM

Strategy: _____

List of Elements	Criteria and Rankings					
	Effectiveness	Practicality	Acceptability	Evaluability	Cost	Retain?

CONTINUED

6 OF 9

PARTICIPANT GUIDE

Notes and Questions

1. Review and Introduction.

2. Identifying and Assessing the Impact of the Program on the Existing System.

   a. If not planned for, these impacts can damage the program and the system.

   (Copy of Checklist is on next page.)

   b. One way to identify and assess the impact the program might have on the system is to review the Problem Statement.

   c. The program developer could prepare a System Impact Matrix

   (Copy of format is shown on V-C-2a)

SYSTEMS IMPACT CHECKLIST

Sources of Constraints & Conflicts	
Areas	**Examples (Events or Conditions)**
Non-CJ System	
Politics	Elections/policy changes
Law	New laws on sentencing
Social and community attitudes	Shifting reaction to criminal offenses
Economy	Recession/job scarcity
Government	Departmental reorganization
Education	Curtailment of after school programs
CJ System (look at all components)	
Inter-agency/intra-agency organization	Lines of authority resisting restructure
Procedures	Miscommunication between probation and parole management
Work loads	Streamlining one component of a client flow without streamlining others
Objectives	Conflicts over corrections philosophy
Attitudes	Unwillingness of practitioners to adopt program

SYSTEM IMPACT MATRIX

Program Results (From the MOR)	Agencies and Organizations						

Notes and Questions

3. Identifying and Assessing the Internal Impact of Program Elements.

4. Networking and scheduling the program elements.

   a. The network is a graphic tool that displays three aspects of an element:

   - How the activities of an element are sequenced or ordered with respect to each other,
   - How long each activity will take to complete,
   - What calendar dates are to be associated with the program activities.

Notes and Questions

5. Networking: Ordering the Activities of an Element.

6. Networking: The Duration of Elements.

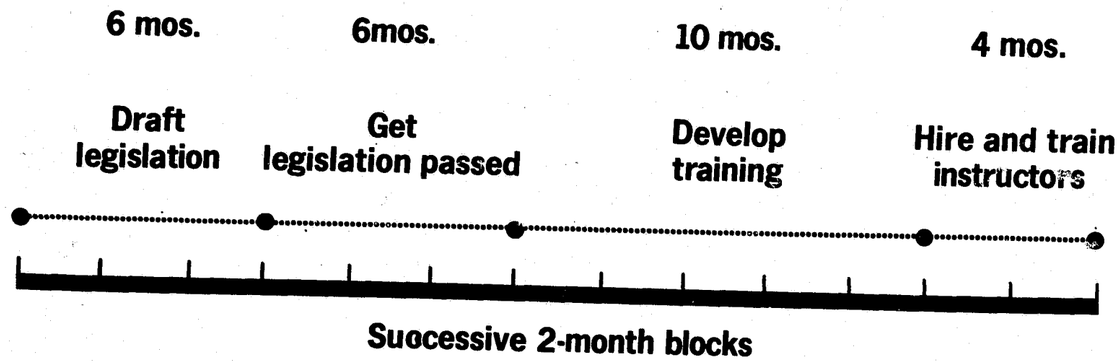
(Copy of Visual is on page V-C-4a.)

7. Networking: Dates and Milestones.

(Copy of Visual is on page V-C-4b.)

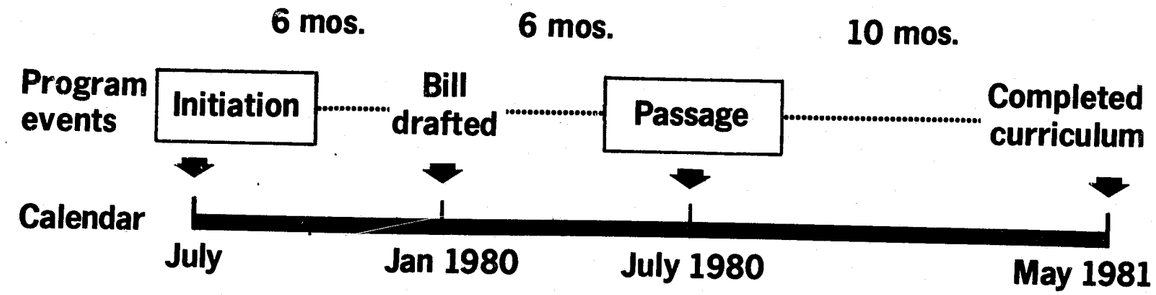
Visual B
Module V

NETWORK AND TIME LINE



Visual C
Module V

NETWORK AND DATES



8. *Desk Activity -- Networking and Scheduling the Program Elements*

Instructions: Read the scenario below. Then prepare a network of the program element described, showing the sequence and duration of each activity and indicating the milestones and critical dates for the element. You have 20 minutes to complete this step.

Scenario

Listed below are a set of activities to be carried out to implement the development of state-wide training academy for police employees. These activities are:

- Prepare draft of enabling legislation
- Lobby and negotiate passage of enabling legislation
- Select training academy site
- Design and construct academy structure
- Develop training curriculum
- Recruit and train academy instructors
- Notify police departments about training
- Recruit and enroll trainees for academy
- Operate training academy

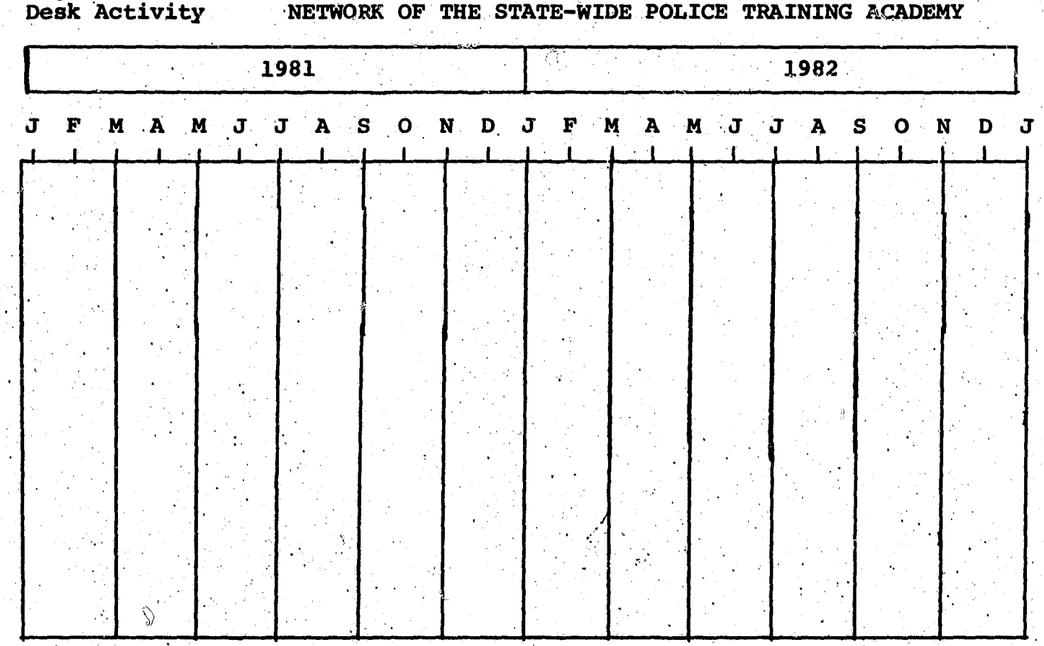
It is now January, 1981. The current Governor -- and the program's principal supporter will be up for reelection in November 1982. The Legislature meets each year from January to June. However, capital projects can only be introduced in odd-numbered years and are reviewed yearly before new money is appropriated. The committee's which oversee such projects usually demand evidence of "significant progress" before a new appropriation is approved. The Governor has promised several key legislators that, if the academy is approved it will graduate its first class of police officers before the elections in November, 1982. Under state law the academy must provide a minimum of 160

hours of training. Assume that design and construction of the academy will require no more than 14 months.

On the following page lay out the network for the first two years of this program element.

Module V
Segment C
Desk Activity

NETWORK OF THE STATE-WIDE POLICE TRAINING ACADEMY



ACTIVITIES

1. Prepare draft of enabling legislation
2. Lobby and negotiate passage of legislation
3. Select training academy site
4. Design and construct academy structure
5. Develop training curriculum
6. Recruit and train academy instructors
7. Notify police departments about training
8. Recruit and enroll trainees for academy
9. Operate training academy

Notes and Questions

9. Developing Objectives for the Elements of a Program

a. An objective is "a specific condition to be attained by a specific program of activities, stated in time-limited and measurable terms."

b. An objective serves two primary functions:

- It provides an immediate standard against which persons working in a program can measure their own progress, and
- It provides managers and evaluators with immediate indicators of how the program is working as a whole.

c. Objectives are developed in a variety of ways: they may be established as a matter of policy by decision-makers or others; or they may be established empirically, based on an assessment of the expected and reasonable level of performance of the program elements.

Notes and Questions

d. In program development the preferred approach to developing objectives is to empirically assess what the probable and reasonable level of performance of a particular element should be.

e. To establish reasonable objectives the program developer should:

- Establish observable indicators of performance for the elements of the program.
- Determine the magnitude of results likely to be achieved by a program element in terms of those indicators.
- Examine the network and schedule for the element and determine when those results will probably be achieved, and
- Estimate what a reasonable level of performance on each indicator for the element would be.

10. *Desk Activity - Developing Objectives for the Elements of a Program*

Instructions: In this desk activity you are to develop reasonable objectives for each of the activities of the element described below.

The program element involves the use of trained civilian volunteers to conduct home security inspections and provide individual instruction on home security precautions in a high crime area of a city. The results to be achieved under this element will include:

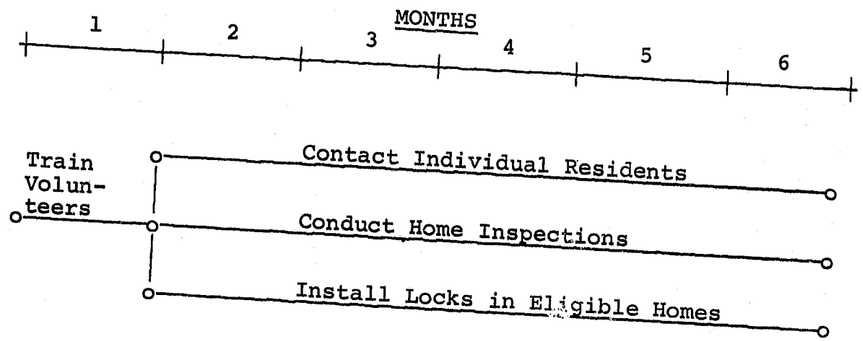
RESULTS	MAGNITUDE
1. A cadre of trained volunteers	Funding limitations allow the project to support no more than 5 inspection teams of 2 persons each. Training will take one month to complete.
2. Direct contacts with neighborhood residents	Previous experience indicates that each team should average about 20 contacts per month, including inspections and lock installations.
3. Individual inspections of homes	The service is voluntary. Previous projects reported that only about 20 percent of the persons contacted will agree to an inspection.
4. Free locks installed in homes of eligible neighborhood residents	Approximately 10 percent of the households are eligible. The installation service is conditioned on the willingness of the resident to agree to the inspection.

The neighborhood contains 1000 households.

On the lines provided develop reasonable objectives for the first six months for each of the four activities listed above. You should:

- Select an indicator of performance for each expected result
- Establish a reasonable level of performance for the activities, stated in terms of the indicator, for the first six months of the element's implementation.

The schedule for the element is shown below.



Indicator _____ Level of Performance

Notes and Questions

11. Developing the Program's Resources and Budget.

    a. Planning for resources to support the program requires a set of interrelated decisions:

    - What amount is <u>needed</u>?
    - What amount is <u>available</u>?
    - What amount must be <u>acquired</u> to fill the gap?
    - The <u>sources</u> of the amount to be acquired?
    - How should the <u>resources be allocated</u> among parts of the program?

	Notes and Questions
12. Preparing the Decision Package (Interim).	(Copy on pages 15a thru 15c.)

PROPOSED ELEMENT # 1

A. Strategic Goal:

"Harden" potential crime targets in the downtown business district.

B. Proposed Strategy:

To provide downtown businessmen with the skills necessary to improve their security practices.

C. Proposed Element:

Create a Crime Prevention Unit in the Gotham City Police Department to assist downtown merchants in target-hardening.

D. Objective to be Achieved:

Increase the number of businesses in the downtown district that have demonstrably improved their security by at least 50% this year over the number who did so the previous year.

E. Cost:

$71,500

Assumption Cost: $42,500 per annum

F. Rationale for Elements:

The merchants in the downtown business district have engaged in few target-hardening activities to date. Their businesses are vulnerable, and the theft rate reflects this. A systematic crime prevention program could reduce this vulnerability.

G. Advantages:

This strategy would enable the merchants to help themselves to a degree. Based on relevant studies, target-hardening is a cost-effective method to curb the types of crime plaguing the downtown business district.

H. Disadvantages:

The Chief really is not completely sold on the crime prevention concept. He expressed the opinion that a lot of the claims about crime prevention appear to be public relations gimmicks. He would be willing, however, to try such an approach if the Planning Agency funded it.

MOR

A. Proposed Element:

Establish a Crime Prevention Unit (CPU) in the downtown business district.

B. Inputs:

1. CPU director (from existing Gotham City personnel)
2. Three law enforcement officers
3. Crime prevention "train-the-trainers" course
4. Car and equipment
5. Audio-visual and demonstration materials

C. Major Activities:

1. Recruit and train three crime prevention unit officers.
2. Procure car and equipment.
3. Purchase required audio-visual and other related supplies and equipment.
4. Conduct public seminars for downtown merchants.
5. Provide direct target-hardening technical assistance to downtown merchants.

D. Results:

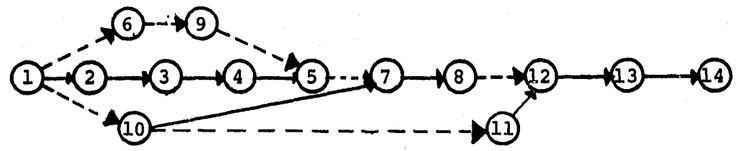
Increase the number of businesses in the downtown district that have demonstrably improved their security by at least 50% this year over the number who did so the previous year.

E. Outcomes:

The value of losses (corrected for inflation) for the merchants participating in the CPU project will be reduced compared to their losses for the previous year.

NETWORK

Project:
Establish Crime Prevention Unit in Gotham City Police Department



ACTIVITIES

1. Appoint director of CPU.
2. Announce officer openings.
3. Screen applicants.
4. Interview selected applicants.
5. Select new officers.
6. Select appropriate training course.
7. Enroll officers in selected training course.
8. Complete training course.
9. Procure car and equipment.
10. Purchase audio-visual and other related supplies and equipment.
11. Schedule seminars.
12. Conduct seminars.
13. Provide tartet-hardening technical assistance to 12 downtown merchants.
14. Complete target-hardening technical assistance.

Key: ○ Activity
----→ Relationship
——→ Sequence of Activities

13. Summary and Review.

Notes and Questions

Segment D: Workshop on Planning the Details of Program Strategies, Part 2.

PARTICIPANT GUIDE

1. The workshop will be carried out in six steps:

- Step 1. You will identify, assess, and take steps to accomodate the impact of the element on the existing system. (30 minutes)
- Step 2. You will identify, assess, and take steps to accomodate the internal impact of activities within the element. (30 minutes)
- Step 3. You will prepare a network for the element, indicating the sequence and duration of each activity, and the dates when activities will start and end. (45 minutes)
- Step 4. You will develop objectives for each of the activities under the element. (30 minutes)
- Step 5. You will develop a budget for the element. (30 minutes)
- Step 6. You will prepare a presentation following the format of a full decision package. (15 minutes)

- Total time for the workshop is 3 hours.

Module 6

PREPARING FOR PROGRAM IMPLEMENTATION AND EVALUATION

Module VI
Preparing for Implementation and Evaluation

PARTICIPANT GUIDE

TITLE

Preparing for Implementation and Evaluation

PURPOSE

To show the need to carry the Program Development process to the point that the program can be implemented, managed, and evaluated as intended. To provide a chance to practice selecting key events.

OBJECTIVES

At the completion of this module the participants will be able to:

- Describe the role of the program developer in preparing for implementation and evaluation.
- Integrate the elements of a program.
- Describe the contents of a full decision package.
- Explain the concept of the key event.
- Use key events to guide the implementation and evaluation of a program.

DESCRIPTION

This module consists of a Lecture Segment (A) that will require about one hour to complete and a final course Workshop Segment (B) that will require about four hours to complete, including a final debriefing.

Outline of Module VI

Preparing for Implementation and Evaluation

Segment A

1. Review and Introduction
2. The Role of the Program Developer in Preparing for the Implementation and Evaluation of a Program
3. The Importance of Integrating the Elements of the Program
4. Integrating Elements
5. Insuring that the Program is Implemented as Intended
6. The Concept of the Key Event
7. Identifying Key Events
8. Using Key Events in the Management of the Program
9. Using Key Events in the Evaluation of the Program
10. Summary and Review of the Course

Segment A

PARTICIPANT GUIDE

	Notes and Questions
1. Review and Introduction.	
a. In this module we will discuss the following topics: • The role of the program developer in preparing for implementation and evaluation. • Integrating the elements of a program. • The concept of the key event. • Preparing the full decision package. • Using key events in the management of the problem. • Using key events in the evaluation of the problem.	
2. The Role of the Program Developer in Preparing for the Implementation and Evaluation of a Program.	

Notes and Questions

a. The program developer may be responsible for

- Carrying out certain elements of the program
- Providing technical assistance to the implementors
- Managing the overall program
- Monitoring or evaluating the program
- Making or advising on future decisions about the continuation or revision of the program.

b. The final product of this step in the program development process is a full decision package which provides the following information to decision-makers:

- The normative goal statement;
- The problem summary;
- The major aspects of the problem;
- A listing of the strategic goals;
- An overview of the strategies under each strategic goal;
- A listing of the elements under each strategy;
- The strategy rationales; and
- An assessment of the program with appropriate recommendations.

Notes and Questions

3. The Importance of Integrating the Elements of the Program.

a. By integration of the elements we mean that necessary linkages between elements are created so that the activities of one element can be coordinated to work with the activities of other elements.

b. By integration of elements we also mean preventing conflicts between elements.

4. Integrating Elements.

a. Elements of the program can be integrated by:

- Identifying areas where the activities of two or more elements could be combined or shared.
- Identifying areas where the activities of two or more elements must be coordinated for one or both to operate effectively.
- Identifying areas of potential conflict between elements.

Notes and Questions

5. Insuring that the Program is Implemented as Intended.

   a. The two primary means by which a program can be kept on track with respect to its strategic goals and strategies are:
   - Through the way the program is managed, at the program or the element level.
   - Through the evaluation and monitoring of the program.

   b. A conceptual device which will help the manager and the evaluator/monitor is called key event analysis.

6. The Concept of the Key Event.

Notes and Questions

   a. Key events are important in program development in that they should be the focus of attention of managers and evaluators.

   b. A key event might occur at any point and at any level in the program.

   c. The principle which determines whether some part of a program is a key event is not its size or the amount of resources devoted to implementation. The factor which determines that an activity or an element is a key event is its importance to the success of the program's strategic goals.

7. Identifying the Key Events.
   - Reviewing the design of the program or of individual elements
   - Examining the networks and schedules of the program
   - Identifying the mechanisms created to coordinate or create cooperation among the elements

Notes and Questions

- Negotiating with persons who may be involved or have a stake in the implementation of the program.

a. The program developer can also identify key events in a program by reviewing the assessment of the logic of the strategy carried out in Module IV.

8. Using Key Events in the Management of the Program

a. The manager of a program can use the identified key events of a program to:

- Select implementors to carry out the design of the program
- Inform those implementors on how the program or its elements should be carried out, and
- Guide the activities of implementors after the program is under way.

Notes and Questions

9. Using Key Events in the Evaluation of the Program.

a. The program evaluator must still evaluate how well each element of the program operates and the impact that element may have. However, the program evaluator must also determine how the elements of the program, working together, contribute to the accomplishment of the program's strategic goals.

b. Evaluators usually distinguish between two levels of evaluation:

- Process evaluation, in which the primary focus is on the way the program operates and its success in achieving its objectives; and
- Impact evaluation, in which the focus is extended to a determination of how the program affected the problem being addressed.

Notes and Questions

10. Preparing the Final Decision Package.

a. The decision package should contain the following materials:

- The normative goal statement for the problem area,
- A summary of the problem, as it is understood,
- The major aspects of the problem derived from the Problem Statement,
- The strategic goal statements that formed the basis for the more detailed planning,
- An overview of the strategies developed to meet the strategic goals,
- The elements intended to implement the different strategies,
- The rationale for each strategy--the logic and assumptions behind the strategies, and
- An assessment of the strategies and a set of recommendations concerning the integration, implementation, and evaluation of the program.

Notes and Questions

b. To this material, the program developer should append the individual element decision packages as back-up documentation; this material was developed in the previous step in the process in Module V and was revised as necessary in this Module.

11. Review of the Module.

Segment B: Workshop

PARTICIPANT GUIDE

1. The workshop will be carried out in three steps:

- Step 1. You will integrate the elements developed in the previous workshops,
- Step 2. You will identify key events in the program, and
- Step 3. You will prepare a final presentation following the format of the final decision package.

a. Following the last step, the group will present its work and participate in a final debriefing.

- Each group will be given 15 minutes to make its presentation.

b. The final presentation will follow the following sequence:

- A brief presentation of the normative goal,
- A brief summary of the problem,
- A description of the three major aspects of the problem addressed,
- The three strategic goals addressing the major aspects of the problem,
- A brief presentation of the three strategies developed in the process,
- A brief description of the three elements that were fully developed in the exercise,
- A review of the rationale behind each strategy,
- An assessment of (1) how the elements implement the assumptions behind each strategy, (2) how the strategies will contribute to the accomplishment of the strategic goals, and (3) how the accomplishment of the strategic goals will contribute to the accomplishment of the normative goal, and
- A description of the key events identified,
- A set of recommedations regarding the qualifications or characteristics of program implementors, special conditions to be required in the implementation of the program, or areas of special interest to persons providing Technical Assistance.

c. The group may divide responsibility for each of these parts of the final presentation.

- The group will have 15 minutes to make its presentation.

APPENDIX:

NOMINAL GROUP TECHNIQUE BACKGROUND

An important tool covered in the Program Development Course as part of the discussion of both priority-setting and strategic goal development is the Nominal Group Technique. The following discussion outlines the major features of this technique and indicates how it could be conducted. For further information about this technique the following references are particularly useful:

- Delbecq, A.L., Van de Ven, A.H., and Gustafson, D. Group techniques for program planning. Glenview, Illinois: Scott, Foresman and Company, 1975.
- Huber, G. and Delbecq, A.L. Guidelines for combining the judgements of individual group members in decision conferences. Academy of Management Journal, 15, June, 1972.

In reading this discussion, keep in mind that the Nominal Group Technique can be applied at several points in the program development process--not only at the point where the important components of the problem are identified.

Nominal Group Technique

The Nominal Group Technique (NGT) is a structured group process which follows a prescribed sequence of steps to reach a decision. The NGT is a valuable device for reaching decisions when:

- The decision-making situation involves very complex issues or problems, and
- The judgements, opinions or attitudes of several persons must be collected, considered and reconciled.

The NGT has been used in a variety of settings in business, industry, education and government to:

- Identify the most important components of a problem.
- Establish priorities and goals for organizations.
- Identify and select possible strategies to solve problems.

When used properly the NGT can produce high quality decisions as well as a high degree of agreement and satisfaction among the participants.

The NGT Process. The NGT is carried out in small groups. The recommended number of persons to be included in the process is from 5 to 9. Research on group processes indicate that groups of less than 5 persons often lack the breadth of experience and ideas needed to make the process productive. However, groups of more than about 9 persons often tend to bog down in factional disputes or the amount of record-keeping involved in the process. A technique to handle more than 9 persons will be discussed later in this text.

The members of the NGT group focus on a single question, which has been selected beforehand by the persons running the meeting. There are six steps in the process:

1. Each member of the group works silently and independently for 5 minutes to generate a list of possible responses to the question.
2. The responses of the group are collected and recorded.
3. The group discusses and clarifies each of the responses.
4. A preliminary vote is taken on the responses.
5. The preliminary vote is discussed and, if necessary, the responses are further clarified.
6. A final vote is taken.

Each of these steps will be discussed in detail below.

Preliminary Preparations. Persons running an NGT exercise should make the following preparations:

- Each member of the group should be provided with writing materials and a free area at which to work.
- The members of the group should be arranged so that they face each other and can clearly see the flip chart or blackboard where their responses will be recorded.
- The room in which the exercise is carried out should be relatively free of outside noise or distractions.
- Each member of the group should be given a sheet of paper on which the question to be considered is indicated at the top. The question can also be written at the top of the flip chart or blackboard where the group's responses are to be recorded.

When the group has been seated the leader of the exercise should make a brief opening statement which:

- Explains the specific purpose and objectives of the meeting.
- Briefly describes the steps of the process, and
- Emphasizes the importance of each member's full concentration and participation.

The leader then asks the group to read the question and, if necessary, will clarify its meaning.

Step 1. Silent Generation of Responses to the Question. After the question has been read and clarified the leader should instruct the group as follows:

- The members of the group will be given 5 minutes to generate as many responses to the question as possible.
- Each member should work silently and independently, listing their responses in short sentences or phrases on the worksheet they were given.
- The members should not focus on any one response too long - the purpose of the step is to identify as many different responses as possible. The responses need not be completely worked out to be listed.

The five-minute limit on the generation of ideas serves two purposes: it encourages members of the group to think and work quickly, and it keeps the number of responses to be considered by the group to a manageable size. Persons may object that the limit does not allow enough time for adequate reflection on the question. However, research on the NGT

indicates that very little useful input is lost by limiting the amount of time for this step. People tend to produce their best ideas during the first few minutes of reflection. Ideas generated later tend to be more elaborate or specific versions of earlier ideas. These detailed responses can be better developed during later steps in the NGT process.

The purpose of having each person work silently and independently is to eliminate some of the pressure many persons feel when asked to "think on their feet" in a group. Moreover, when the group consists of persons with different positions and backgrounds, this step provides a safe and acceptable way for persons with less status and self-confidence to make their input. This is particularly important when the group consists of persons at different levels in the same organization.

The purpose of telling members to not focus on any one response too long is to avoid the premature elimination of potentially useful ideas. The purpose here is to identify a broad range of responses. Obviously, many of these "brainstorm" ideas will not hold up under closer scrutiny. At the same time, many innovative and creative ideas have been developed out of this type of "free association" thinking. One of the primary benefits of the NGT is that it can be used to develop unconventional responses that might otherwise not be considered.

The role of the leader in this step is to:

- Keep track of the time.
- Enforce the rule that persons work independently, and
- Encourage the group to use the time period creatively and efficiently.

The leader should answer questions about what a good response would be by indicating that there are no "correct" responses to the question. The leader should also avoid influencing the group by giving examples. Such examples often end up being given as responses by group members because they were "endorsed" by the leader. Finally, the leader should set an example by working silently on the question along with the group.

Step 2. Recording the Responses. When the time limit has elapsed the leader should ask the group to stop writing and give the group the following instructions:

- The responses will be recorded without comment on the flip-chart or blackboard.
- The responses will be collected one by one from each group member in a serial fashion.
- The members should avoid repeating the same response - if more than one member had the same idea the response should be recorded only once.
- New responses, stimulated by a response given by someone else may be added to their list at any time.

The purpose of recording the responses in front of the entire group is to allow all of the members to see what the group has produced. This can be a major payoff for the group by itself - a sizeable list of optional responses generated in a relatively short time. The purpose of recording the responses without comment is to avoid premature discussions which would tend to increase or decrease the perceived value of any one response. A member whose response is criticized by the group before all of the others have given their responses may choose to "drop out" of the process or become overly defensive about his or her other ideas. In effect,

the recording of the responses shifts the ownership of the responses from the individual member to the group as a whole.

The responses are recorded in a serial fashion. The first member provides the first response on his or her list. The leader records the response on the flipchart and then asks a second member to provide the first response on his or her list. The leader continues to go around the group, soliciting one response at a time until all responses have been collected. The leader should include his or her own responses with the others.

The purpose behind this procedure is to disassociate specific responses with specific individuals. This will reduce the tendency of some persons to dismiss the ideas of others based on personal feelings or individual status. The disassociation of responses with individuals is particularly important if the group is to consider the responses objectively during the next steps in the process.

The role of the leader in this step is to record the responses of the group members on the flipchart or blackboard. The leader should avoid editing the responses and should record them as closely to the words of the member as possible. Overly long statements should be shortened or abbreviated if possible. However, the person providing the response should be satisfied with the way the response is expressed.

The leader should also avoid prejudging responses by suggesting that one response is the same as another response already listed, or that one response could be subsumed or combined with another. At this stage the leader should act as little more than a recorder of the group's ideas.

Each response should be numbered as it is recorded. In addition, room should be left along the right hand margin to record the votes to be taken by the group in subsequent steps.

Step 3. Discussing and Clarifying the Responses. After all of the responses have been recorded the leader should initiate a discussion of the responses. The discussion should focus on one response at a time, starting with the first response and proceeding through the entire list. The leader should begin the discussion by asking the group, "Does anyone have any comments or questions about this item?", or "Does everyone understand the idea behind this response?"

The purpose of this discussion is to clarify the intent and logic behind each of the responses on the list. The person who provided the response is not obliged to explain the statement. However, the leader should encourage members of the group to ask questions or suggest explanations in order to clarify the meaning of the response.

Conflicts between members may arise at this point. This should not be discouraged so long as the disputes bring out real issues or facts related to a given item. However, the leader should not permit disputes to become personal feuds between two or more members, or allow the discussion to drag out too long. Once it becomes apparent that the issues surrounding a given response have been fully aired the discussion should move on to the next item.

If the number of items in the list is large, a certain amount of editing and collapsing may be permitted. However, the leader should be very careful not to allow this process to go too far or too fast. The group as a whole should agree that the revision is necessary and useful. In particular, the person who provided a response should agree that the

change should be made. If the leader senses that the whole group may not see the need to collapse or delete an item it is preferable to leave the list as is. The consequences of having a member feel that his or her response was deleted arbitrarily can be serious, particularly if that person will be expected to accept or act on the group's final decision.

It may be preferable to set a time limit on the discussion of any one item. Although it is desireable to allow the group to pace itself in the discussion the natural tendency is for the group to discuss the first responses in more detail and to then give less attention to responses lower on the list. This should be avoided. Important issues may not be given adequate attention and some responses may not be completely understood by everyone.

The role of the leader in this step is to facilitate discussion, mediate disputes and keep the discussion focused on one response at a time. The leader should participate in the discussion with the others. However, the leader should be careful to not "steer" the group because of his or her dual role.

Step 4. Preliminary Vote. Once every item on the list has been discussed the leader should indicate that a preliminary vote will be taken. A number of voting procedures could be used in this step. The ranking procedure described here is merely a suggestion. The purpose of this step is to determine the degree of agreement or disagreement within the group based on the initial discussion.

In this procedure the group members are asked to individually rank the responses according to some priority criterion. The criterion might be the importance of the responses, the relative acceptability, desireability or practicality of the responses, or some other criterion related to the decision

the group is to reach. The basis on which the group is to rank the responses should be explained and clearly understood before the vote is taken.

The first step in the procedure is to determine how many of the responses should be ranked. The group should not be required to rank the entire list because the intent here is to identify relatively intense differences or agreements within the group. By asking the group members to select only the top 6 to 9 responses from a larger list the members are forced to focus on those responses about which they have the clearest and least ambivalent opinions.

As a rule of thumb the number of responses to be ranked should be about 40 percent of the total number of responses on the group's list up to a maximum of 9. For example, if the group developed a list of 15 responses the number of responses to be ranked should be about 6. If the list included 20 responses the number to be ranked should be about 8. The group should not be asked to rank more than 9 responses no matter how large the number of responses on the list. The reason for this is that most persons find it difficult to rank many more than 9 items at a time in a meaningful way. As the number of items to be ranked increases the mid-range items become increasingly difficult to assess and persons tend to make arbitrary decisions. This tends to decrease the value and validity of the process for both the person doing the ranking and anyone wishing to use or interpret the results.

When the number of items to be ranked has been determined the leader should give that number of 3x5 cards to each group member. Each member of the group should then select the top "N" number of responses from the list and write the numbers corresponding to those responses in the upper left hand corner of the cards - one number per card. This should be written

in pencil in order to make it easier for the member to make a change.

After all the cards have been assigned a number the members should each copy the response statement corresponding to the number on the card. This serves two purposes: it forces the member to check the correct correspondence between the number and the response, and it "commits" the member to the response he or she selected.

When the members have completed copying their responses on their cards they should each array these cards before them, face up. From their array they should then select the lowest ranking response and assign that response the lowest numeric rank. The rank number should be written in the lower right hand corner of the card and underlined twice. The underlining is intended to distinguish the rank number from the response number when the card in interpreted. The members should then turn the card over and select the lowest ranking response from those remaining. This process is continued until all of the responses have been ranked.

When all of the group members have completed ranking their cards they should be passed forward to the leader. The leader should then shuffle the cards to preserve the anonymity of the balloting and begin tallying the votes on the sheet where the responses are listed.

There are several methods which could be used to tally the ballot. The simplest method is to merely write the rank numbers assigned to a response in the margin behind the response. Thus, if response number 3 was assigned a rank of "4" by a member a 4 is written after the response. Thus the group can readily see how many times each response was ranked

and the distribution of ranks it was assigned. (The format for tallying the first vote is shown on page ____.) With this method it is not necessary to compute an average score or any other summary score for the responses. The presentation of the raw tally is usually sufficient given the relatively small number of persons voting and responses to be voted on.

After the vote has been tallied the leader should take a few moments to allow the group to examine the vote results. The leader may wish to make a few notes on the vote relating to:

- Responses on which there appears to be a clear agreement (i.e., everyone gave the response a high ranking or no ranking at all).
- Responses which received only one or two extreme rankings.
- Responses in which the assigned rankings were polarized (i.e., some high ranks and some low ranks).

These notes can then form the basis for the discussion which follows in the next step.

The role of the leader in this step is to facilitate the voting - clarifying or demonstrating the process for the members - and to record the vote. The leader should vote along with the others. During the tallying the leader may wish to recruit one of the members of the group to assist in reading off the votes or recording the vote on the work sheet.

Step 5. Discussion of the Vote. After the vote has been tallied and the group members have had a chance to examine the results the leader should initiate a discussion, again aimed at clarifying the responses and the vote itself. The discussion should focus on one response at a time, particularly those items which the group as a whole selected as

NGT: TALLYING THE PRELIMINARY VOTE

(ITEM #)	(STATEMENT)	(TALLY)
1	_____	1, 1, 2, 4 *
2	_____	1, 2
3	_____	1, 2, 2, 2
4	_____	3, 4
5	_____	3, 3, 3, 3, 4
6	_____	*
7	_____	1*
8	_____	*
9	_____	*
10	_____	4, 4

* Discussion Points

being among the more important. This may also be the time to draw out further explanations on specific responses. Individuals should not be asked to reveal how they voted or to justify their vote to the group.

The role of the leader, as in the first discussion is to facilitate the discussion, mediate disputes and keep the discussion focused on the responses.

Step 6. The Final Vote. The first vote may have indicated that the group is already in agreement on the responses. In this instance the NGT process can be stopped after the first vote. However, in most instances a discussion and a second vote are necessary to refine the group's decision. As in the first vote, any number of voting procedures could be used, including the same procedure outlined for the first vote. In this example we will outline a second technique in which numeric weights are assigned to specific responses.

For the second vote the group members are again asked to each select a certain number of responses from the overall list. These responses can be the same as those selected in the first vote or they can be an entirely new set. At this point every response should still be considered a potential candidate. In the instructions to the group the leader should emphasize that no one should feel compelled to change their vote or, conversely, to adhere to their original vote.

The members should each be given a form such as the one shown on the following page. In the first column the group should again list the numbers of the response items they selected. In the second column they should then write in the corresponding response statements opposite the number. Finally, the group members should then rate each response on the scale from 1 to 10 in which a "1" indicates lesser importance and a "10" greater importance. The members may

assign the same weight to more than one response if they believe two or more items are of equal importance.

When all of the members have completed their voting the leader should collect the forms and compute average and total scores for each response as well as the number of persons assigning a rank. After the scores have been computed the leader should announce the results and indicate what the group's decision is.

At this point, unless there is a need for further discussion, the leader should indicate that the NGT process is completed.

NGT for Groups of More than 9 Persons

A technique has been developed for handling groups of more than 9 persons in the NGT process without distorting the results. In this approach the larger group is broken up into two or more groups of between 5 to 9 persons. Each group is assigned a leader who leads them through the first 4 steps in the process (i.e., through the first vote). After the vote has been taken the groups reconvene as a whole while the group leaders consolidate the individual group responses.

Consolidating the responses and the votes from two or more groups consists of:

- Compiling a single master list of all responses from all the groups,
- Collapsing and combining response items where appropriate,
- Computing overall group scores on the items.

In those instances where the different groups generated essentially similar response items the leaders may be able to combine the two or more into a single item. When this is done the rankings or scores of the groups on the combined responses can also be combined. However, the leaders should take care not to eliminate responses or arbitrarily combine items not clearly the same in intent. This is often a matter of judgement and leaders should tend to err on the side of not combining responses if any doubt exists. Any combining or collapsing of responses should be clearly explained to the group.

When all changes in responses and the vote have been explained a leader should facilitate a general discussion as described in Step 5. Following the discussion the group then carries out a final vote as described in Step 6.

Writing the NGT Question. The most important preliminary decision for persons conducting an NGT exercise is the selection and drafting of the question the group is to address. The NGT is a relatively powerful decision-making tool. Persons who participate in an NGT exercise very often become highly involved in the process and exert a significant level of personal effort. Because of this, participants may become highly committed to the results of the process and demand that those results be put to direct and immediate use. Thus, before persons running an NGT ask a group to make this level of effort it is important that they have a clear view of both what is to be accomplished through the exercise, and how the results of the exercise will be used.

There are four steps in selecting and drafting the NGT question:

1. The objectives of the NGT meeting should be clearly specified.

2. Examples of the kinds of responses to be generated should be drafted.

3. Alternative question statements thought to elicit the desired kinds of responses should be drafted.

4. Each of the alternative question statements should be tested to determine which produce the desired kinds of responses.

Deciding on the objectives of the NGT exercise is the most important of the four steps. The NGT is a highly adaptable tool. However, there are certain kinds of decisions for which it is more useful than others. In general, the NGT is most useful when:

- Only one decision is to be made by the group,
- The options available to the group are relatively open.

The NGT is most valuable when only a single decision must be reached. Because of the nature of the process it is difficult for a group to focus on more than one decision at a time. For example, it would be inappropriate to conduct an NGT exercise to decide which aspects of a complex problem should be addressed in a program and what the strategy to address those aspects should be. Clearly, there are several separate decisions to be reached here, each of which would require considerable thought and discussion. In this instance it would be preferable to conduct several separate NGT meetings - the first to decide on the aspects of the problem to be addressed, and the subsequent meetings to decide on strategies.

The NGT is most valuable when the options available to the group are relatively open. A decision which has been reduced to a simple yes-no choice, or one in which the options

have already been specified is not particularly suitable for the NGT approach. For example, a decision about which of two programs to fund would not be appropriate for an NGT exercise. The value of the NGT is that it allows the group to generate and consider a range of options, some of which may not have been even recognized beforehand.

The second step, the drafting of the kinds of responses desired from the group, is critical in terms of the ultimate use of the NGT results. At this stage the persons conducting the NGT must consider how the results will be used and thus, what kinds of results would be most useful. This does not mean that the persons running the NGT should predetermine the content of the responses from the group. It means that the level of specificity and the scope of the responses should be carefully considered. For example, if a group of decision-makers are led through an NGT exercise to determine what the general strategy of a program will be, the persons running the NGT might be concerned that the responses selected by the group will be too specific. Similarly, if the responses generated by the group are too broad and general the persons running the NGT may find that they cannot use the decision in a meaningful way.

The third step is to draft a set of possible NGT questions that are intended to elicit the kinds of responses desired. Wherever possible, the question should be a single, relatively simple sentence. The longer and more involved the question the greater will be the group's difficulty in focusing on the issues. A second consideration in drafting the question is the background of the persons in the group. If the members of the group share a common background it may be possible to use more technical or specialized language. However, if the group is made up of persons with different backgrounds or with different levels of expertise it is necessary to draft the questions in more generic and common language.

The final step, pre-testing the questions should be carried out in order to determine whether the questions will actually generate the kinds of responses desired and which of the questions appears to produce the most workable responses. The pre-testing should be carried out with persons not involved in the drafting of the questions. In addition, persons who might be included in the actual NGT exercise should not be used during the pre-testing stage.

Who Should Participate in the NGT Exercise? The selection of persons to participate in an NGT exercise should be guided by the overall objectives of the exercise. A major criteria for the selection is that the persons have a definite stake in the issue being discussed. For example, in program development persons who might be involved in the implementation of a program, or who are likely to be directly affected by the program are suitable candidates for the group. It is also desireable to include persons with diverse backgrounds and areas of expertise. The makeup of the group will play a large part in determining the outcome of the NGT process, and the greater the diversity within the group the broader will be the range of issues and responses.

Summary. The NGT is a useful and relatively powerful decision-making device. When used properly it can generate a high level of agreement and satisfaction among participating decision-makers. In addition, the process can produce decisions that are both creative and well thought out in a relatively short period of time.

As a caveat, persons running an NGT exercise should be aware of the limitations and potential dangers of the approach. We have attempted to identify some of the limitations in this discussion. However, the greatest danger in using the technique is that it may raise unrealistic expectations among

persons participating in the process. Unless the persons running the technique have the skill to follow through with the decisions made in the group, the counter reaction may be very serious. For this reason persons using the technique should be very clear on how the results of the technique can and will be used and should convey that understanding to the group before the exercise begins.

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Criminal Justice Planning and Management Series

Volume 3

Criminal Justice Program Development Course:

Text

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TEXT

What is Program Development?

Before attempting a concise definition of program development, it would be helpful to discuss some of its salient characteristics and place it in the context of the General Planning Process Model that has been adopted by many practitioners in the Criminal Justice System.

Program development is a critical part of this overall planning model and supports the development of a wide variety of activities that have as their common purpose the reduction of crime and/or the improvement in the efficiency with which the Criminal Justice system operates.

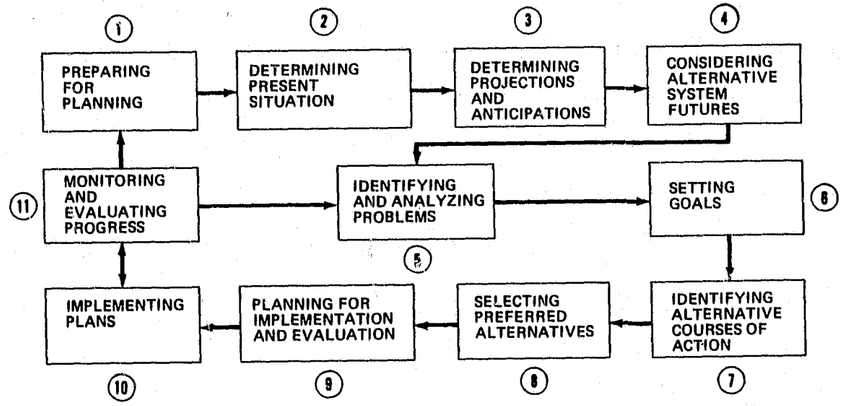
The model (shown below) is seen to contain eleven "steps," each representing a logical progression in the refinement of plans that move from the normative level (steps 1 through 6), to the strategic level (steps 7 and 8), and, finally, to the operational level (steps 9 through 11).

The program development process "begins" with the definition of problems, which is at the end of the problem analysis process that is represented by step 5 in the model; it "ends"

with the completion of planning for the implementation and evaluation of a program of activities, which is represented by step 9 of the model.

V-1

GENERAL PLANNING PROCESS MODEL



Stated most simply, program development builds upon well-defined problems (step 5), sets goals for dealing with those problems (step 6), identifies possible strategies for "solving" those problems (step 7), selects those strategies that are most likely to work (step 8), and plans for their implementation and evaluation (step 9). Program development, in this model, stops short of the funding of activities or their actual implementation, but, as we shall see, this dividing line is not always a sharp and well-defined one.

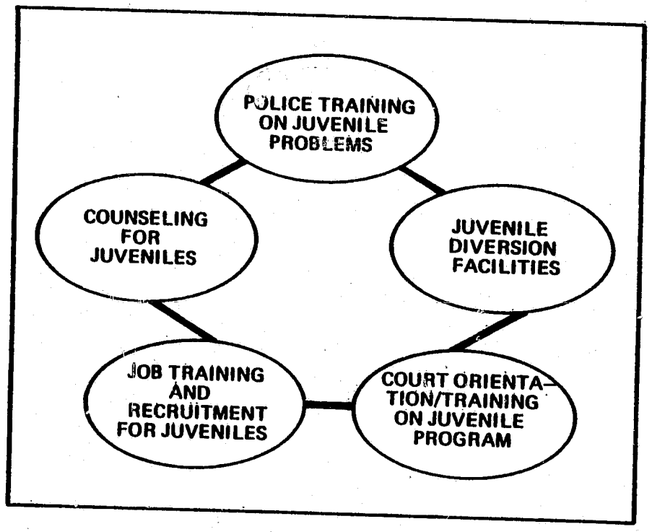
Since there already exist Criminal Justice Training Center courses on problem identification and definition (the Analysis Course) and on the evaluation of projects (the Evaluation/ Monitoring Course), the program development process is anchored at both ends by well-researched and by sound methods and techniques for carrying out those two functions. Thus, the Program Development Course fills a large and critical gap in the process that goes from problem to solution. Or stated still another way, program development carries the planning process from what should be done to what must and can be done but stops short of actually doing it!

Programs and Projects

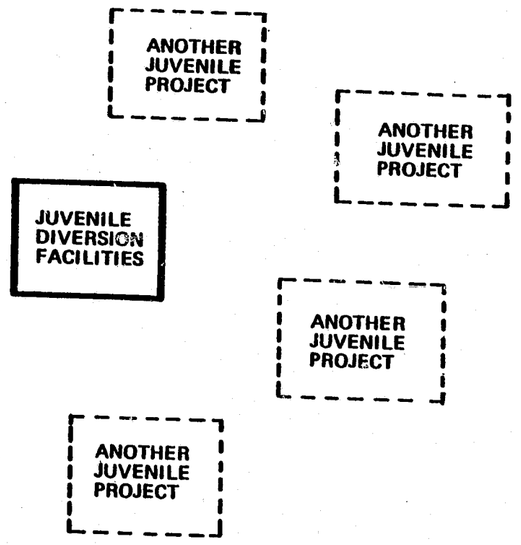
Another useful way of thinking about program development is to contrast it with project development. This is difficult because the terms are often used interchangeably, depending on one's perspective. Thus, a large activity in a small community (e.g., a juvenile diversion initiative) may be seen as a program by the local people but as a project at the regional or state level. This potential for confusion can be reduced by looking at the planning process that led to that activity.

The illustration on the following page shows the two ways a planner can think about an organized effort to solve a problem. In the program on the left we see a set of efforts all relating to juveniles. The lines between the different kinds of efforts -- we call these efforts "elements"-- indicate that they are somehow connected or "integrated." The set of projects on the left are also related to juvenile justice. However, the lack of integration

JUVENILE JUSTICE PROGRAM



JUVENILE JUSTICE PROJECTS



among the projects suggests that they are just that--a set of projects that happen to all relate to juveniles. Thus, even though both groups of efforts contain common parts, such as juvenile diversion facilities, only the one on the left can be truly described as a program. As we shall see, this distinction is profound in its conceptual and planning implications but may seem trivial at the operational level. Let us at this point simply state an axiom that is the driving force behind the entire notion of program development:

> *Since criminal justice problems are highly complex and multi-faceted in their causation, their overt existence, and their impact, it follows that intervention activities must be sensitive to this complexity if they are going to be of any real and lasting value to society.*

The corollary to this axiom is:

> *Single projects developed in quick response to narrowly conceived and/or ill-defined problems will not contribute significantly to the reduction of crime or to the improvement of the Criminal Justice system.*

Stated less formally, putting out fires or responding to the wheel that squeaks the loudest is not consistent with sound program planning. It also does little to improve the professional image of Criminal Justice planners.

The Role of the Planner In Program Development

If one were to point out that much of the planning currently being carried out in the various criminal justice agencies throughout the country is at the project rather than the program level, this would be correct. If one were to assert that this is not likely to be, or cannot be, changed regardless of the desirability of such change, this would hopefully be incorrect. In a survey carried out in support of this course development effort, it was learned that some form of program development work is now performed by most of the 242 planners who responded, covering state, regional, and local agencies (1). In fact, only 2.1% of the respondents said that they do no program development work at all and 20% spend over 50% of their time on program development work. The remaining 78% range between these two extremes.

Furthermore, of the 76 tasks initially identified as comprising the program development process, 62 of them, or 82%, were said to be performed at least some of the time by over 70% of the agencies responding. Even allowing for the error inherent in such survey results, there is still a sizable number of planners who are making some kind of an effort to engage in program development, although very few of them are doing it on a systematic, regular, and full-time basis.

Definition of Program Development

Having set Program Development in context and described some of its characteristics, the following definition is offered:

> *Program Development is the process of identifying, selecting, and designing systems-oriented strategies, made up of complementary projects and activities, to produce goal-directed changes in specific criminal justice problem areas.*

The emphasis in the definition is clearly on the notion of developing a systems response to criminal justice problems. This does not mean that the program as developed should confine itself to the present criminal justice system--the courts, police, corrections, etc., but that the response should relate to the problem in its breadth and complexity and thus be a multi-faceted set of activities, all linked together by a common goal. The systems notion also carries with it the idea of evaluation, feedback and revision--a dynamic response rather than a static one. Finally, the program development process is characterized by the need for expertise that ranges over several areas, and strongly suggests the use of a team approach.

The Basic Steps in Program Development

Prior to the development of this course, an extensive literature review was carried out as well as intensive

interviews with a substantial number of practitioners with many years of experience in developing programs and projects in the Criminal Justice environment. Based on a concensus of their informed judgments, 76 separate tasks were identified as being part of the program development process. To validate this list, a survey form was sent to 237 planning agencies in the U.S. and territories to (1) check on the accuracy of the list ("Is this task part of the program development process as you see it?"), (2) determine how many of the planners actually did these tasks, and (3) determine how important they considered each one to be. Based on the results of this survey, a validated model of the program development process was developed and served as the basis for the design of this training course. (Perceived areas of inadequacy were also solicited from practitioners to help determine the relative emphasis that should be placed on various topics.)

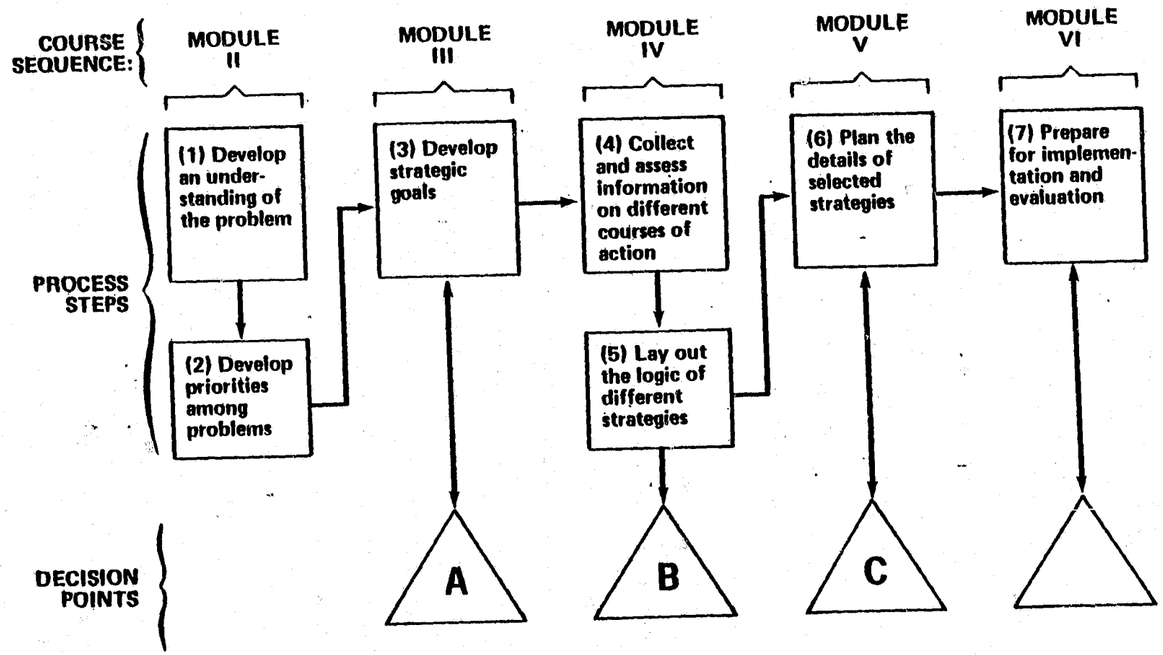
The seven major steps in the Program Development Model are shown below (related course modules are shown by Roman numerals):

- Develop an understanding of the problem (II)
- Develop priorities among problems (II)
- Develop strategic goals (III)
- Collect and assess information on different courses of action (IV)

- Lay out the logic of different strategies (IV)
- Plan the details of selected strategies (V)
- Prepare for implementation and evaluation (VI)

It should be noted that this model of the Program Development process, while more detailed, is quite consistent with the General Planning Process Model shown earlier. Thus, Modules II and III are essentially dealing at the normative level of planning--the "ought" stage. Here, problems are defined and selected, and strategic goals for those problems are established and approved, thus establishing the overall policy direction of the work to follow. Module IV is at the heart of the process, sorting out what kinds of strategies can be considered as potentially able to "solve" the problem and meet the strategic goals. Available resources begin to play a role at this point in the process, introducing the notion of what can be done as distinct from what ought to be done. Modules V and VI carry the process to the operational level of planning (the will be done stage), spelling out the elements necessary in order that the program be carried out as planned, often including who will do it, when it will be done, and how much it will cost to do it. Planning for the management and evaluation of the various elements that comprise the program is also accomplished here.

The program development process also contains a series of decision points--points at which key decision-makers must be brought into the process and approvals to continue the program development efforts should be obtained. In this course we



I-8a

discuss four such decision points:

- The selection of a set of possible strategic goals (A);
- The selection of a set of possible strategies (B);
- The approval of a set of elements which will implement the different strategies (C);
- The approval of the completed work plan which integrates the different elements and will guide the implementation and evaluation of the program (D).

At each of these decision points the program developer prepares what we call a decision package; a document which outlines the options available to the decision-maker and provides the necessary background information he or she needs to evaluate the choices.

The Logic of the Program Development Process

A simple way to conceptualize the program development process is to consider the reasons why programs succeed or fail. In general, there are three such reasons:

- The extent to which the persons planning the program understand the problem they are trying to address;
- The extent to which the strategies developed are appropriate to the solution of the problem;
- The extent to which the strategies are carried out as intended.

A program succeeds or fails largely to the extent that all three of these conditions are met. A perfectly executed plan

will fail if the plan itself was faulty to begin with, just as a perfect plan will fail if the plan is not followed. Similarly, a strategy may meet all the criteria of logic and feasibility but still fail if it is based on an inaccurate understanding of the problem to be addressed.

The program development process outlined in the course is aimed at maximizing the probability that programs will succeed. It does this by outlining a logical series of steps that tie the problem to the development of strategies and the development of operational plans to the strategies. Putting first things first we focus on the problem before looking to solutions and test the logic of those solutions before deciding how best to implement them. We also follow a consistent pattern at each step. Before any decision is made we first identify as many relevant options as possible and then organize those options in a way that makes the decision possible.

We can now see that the program development process is really a set of decisions, each one representing a further refinement of, and narrowing of, the options available to the planner. However, these decision points must be recognized not as part of a one-way linear process but as informed estimates, subject to reassessment and re-definition as the process progresses. Thus, goals established earlier may be revised on the basis of new information, new insights

or newly imposed limitations on the resources available. The process should operate as a self-correcting system, with feedback from each step used to reassess the adequacy of earlier steps and modify them as appropriate.

We can also see that the end-point of the program development process is difficult to define with precision. The best one can say about where the program planning process should stop is "it depends." We have said that for purposes of this course it ends at that point where the program is funded or implemented. But in the real world, program development may well continue beyond that point. The extent to which that is true depends on several things, but mostly on the nature of the elements that comprise the program. Are they innovative or traditional? Large and complex or small and easy to define? Are they dispersed geographically or confined to a small area? Are they research efforts or demonstration efforts (or mixed)? Do they cross jurisdictional lines? Are the agencies and personnel involved in carrying out the elements of the program plan well known and experienced in the work involved or is it new to them? Have unforseen external events forced the elements to be modified? Any of the above factors could result in additional program development work <u>after</u> funding and implementation. But courses have to end, so a logical point to consider the process as having been completed is at that point where the program is ready for implementation.

Sensitivity to the need for flexibility on the part of

those who will implement the work is the other side of the same coin -- when do guidelines for management and evaluation of a project become a straightjacket on effective performance at the operational level? When does the detailed planning of the program developer become an insult to those given the responsibility to carry out the plan?

At the more philosophical level, we can also see that program development cannot be bound by a finite set of steps. The entire process is one that can only improve the probability of success while reducing that for error and failure. In a world of imperfect knowledge and limited resources, the results of the best program development efforts will also be imperfect. In that sense, then, the process is never completed; many of today's programs are built on the foundations of earlier activities that were the product of other planning efforts. There is little reason to believe that this process will now reach its ultimate conclusion, even with the increased skills of planners that should result from courses such as this one!

The Skills Needed for Program Development

The development of a program is a complex and demanding process and requires a variety of special skills. The ideal program developer should have:

- *Fact-finding and analytic skills*, e.g. skills in interpreting research and evaluation materials; ability to think systematically about interventions and identify assumptions; knowledge of ways to access available information.

- *Interpersonal skills*, e.g., organizational, leadership, communications, and public relations abilities.
- *Technical, administrative and planning skills*, e.g., competence in budgeting, procedural development, staffing and organization, scheduling, and developing internal and external feedback mechanisms.
- *Operational and content expertise*, e.g., substantive knowledge of the content areas, practical experience with the agencies involved in and impacted by the program, knowledge of local conditions.

This brief overview of what Program Development is, some of the problems connected with its use, and some of the relevant skills and knowledge that those who do Program Development need to have, serves to point up the challenge faced by a course that proposes to provide training in the area. The ideal program developer would appear to be someone who has the wisdom of a Solomon, the craftiness of a Machiavelli, the brains of an Einstein, the charm of a Valentino, the hide of an elephant, and the agility of a gazelle!

The Role of the Program Developer in the Context of Criminal Justice Planning

The process for developing a program described in this course may seem idealistic, particularly in a period of limited resources when the "grand" approach to criminal justice problems apprears to be less feasible. In addition, the approach may appear to be running counter to the reactive, crisis-oriented approach to criminal justice planning which many agencies have

adopted over the years. It is true that the process described here may often take more time, money, and effort than is required by the more typical "quick-fix" approach to planning. However, there are a number of reasons why such an approach is, in fact, more practical and realistic than the more typical approaches to problem solving.

First, in times of limited resources the program developer must necessarily be more selective in his or her choice of targets. Thus, a process which deliberately forces the program developer to look carefully at the nature of the problems to be addressed and the options for intervention is more realistic than one that simply reacts to each crisis as it occurs. Second, when limited resources are available the program developer must be as certain as possible that the interventions implemented have the best chance of succeeding--the margin for mistakes is much narrower. Third, program development, as described here does not necessarily mean the implementation of "new" activities or projects--it may often mean redirecting existing efforts or providing better ways of doing what is already being done. The process described here encourages the program developer to use what is already available and to not limit program thinking only to those activities that will require additional resources.

It can also be argued that very little of what is presented here is beyond the current experience or capacities of persons in the criminal justice planning profession. Most of the tasks and skills required in program development are already carried out by persons in the system. What this course adds is a more

systematic and logical arrangement of these tasks and skills, and an underlying approach that makes the process explicit rather than intuitive.

We are not attempting to minimize the difficulties involved in implementing the process described in this course. To work properly the process must have the support of managers and decision-makers. This means that it will have to be "sold"; either as a whole package, or one piece at a time. The logical person to do the selling is the program developer who is convinced that the process can work. One excellent way to sell the process is to first, create a sense of teamwork in the process--program development is seldom a one-person operation--and second, to involve the key decision-makers in the process through timely briefings and free sharing of information.

Summary: The Characteristics of Program Development

We have tried to cover a great deal of ground in this introductory essay. Many of the ideas will be fleshed out in more detail in subsequent chapters. We conclude this discussion with several salient points which helped form the overall concept of the course:

- A collection of individual projects and other activities that fall within or are assigned to a programmatic label do not usually constitute a program as defined here. A collection of highly skilled carpenters, plumbers, brick layers, roofers, etc., will never build a house unless they are working toward a common goal and from a common set of blueprints.

- The elements that comprise a program may be of several types, including funded projects that went through the RFP and grant process; activities that an operating agency agrees to do within its own budget; and initiatives that are carried out within the planning agency itself. Each of these elements requires a different approach, different products and different skills. Yet each is an integral part of the overall program and the failure of any one of them may seriously compromise the overall program.

- The various elements that represent the end products of the program development process are likely to require inter-agency cooperation. This puts special requirements on the management and evaluation functions to insure the integrity of the program elements oncy they are operational.

- Program development may be initiated and carried out at different levels in the Criminal Justice system. Ideas may start at lower levels, go to higher levels for further development, integration, and funding support and return to the lower level for detailed planning and implementation.

- The various state and local planning agencies have routinized and proceduralized much of the planning process, partly due to pressure from various governing authorities to work within prescribed legal codes and guidelines. This is not a guidelines-compliance course, nor is it one on how to obtain funding. It describes a process that can be carried out according to certain logical procedures. The variations in the way these procedures can be locally institutionalized and legally defined are infinite, subject to constant change, and clearly beyond the scope of this course.

- Managers of criminal justice agencies should serve in a sorting capacity in the program development decision process, selecting those things that the developer can decide on his own, those things that the manager should decide on his own, and those decisions that should involve a larger constituency, such as a planning or supervisory board. The program developer can facilitate and heavily influence these decisions through his technical and interpersonal skills, but he or she must

recognize that final authority for decisions about the selection of problems, the determination of goals, the selection of intervention strategies, and the utilization of resources will almost always rest elsewhere.

- The program development process has n opportunity to present itself as a force for po..tive social change as opposed to a negative response to serious and immediate problems. It has the scope and breadth to consider longer range solutions that can consider, for example, prevention activities. This is also why programmatic approaches are often harder to "sell" and to keep before the public eye. Results are longer range and more difficult to document. Interest may lag and funds diverted to other, more immediately perceived needs.

- Quantitative factors should play the major role in the program development process, but qualitative factors play a large role as well. Traversing from the "ought," to the "can," to the "will" involves selling ideas to the hard-to-sell, and convincing the hard-to-convince of the logic of your approach. It also means knowing when to retreat, compromise, and select alternate routes -- all of this being done while maintaining the integrity of the program. Such interpersonal factors are hard to define and even harder to teach. The course will discuss their importance and provide some guidance on their use, but it will not be able to compensate for real deficiencies in these areas.

Course Objectives

If some of the above characteristics seem problematic, that is only because the role of the planner in program development is being looked at realistically. A course of instruction in such a complex area as program development does little service to the cause of improved criminal justice practices by ignoring reality. What such a course can do is (1) convince you of the inherent logic and desirability of program development, and (2) introduce you

to the basic skills and knowledge that will enable you to begin the pursuit of Program Development in your own agency. The stated overall objectives of the course are as follows:

> To provide to those who have Program Development responsibilities the necessary knowledge and skills so that they <u>will see the need</u> to, and <u>will be able to</u>:
>
> - Assess the adequacy (completeness, accuracy, logic) of statements relating to criminal justice problems within your jurisdiction (ref. Module II);
> - Establish priorities among those problems for possible intervention (ref. Module II);
> - Develop program goals consistent with the problems selected and the priorities established (ref. Module III);
> - Locate and/or develop approaches potentially capable of meeting program goals, i.e., dealing with the selected problems (ref. Module IV);
> - Select those approaches most likely to impact on the reduction of those problems, commensurate with available or obtainable resources (ref. Modules IV and V);
> - Identify delivery systems and procedures that can implement those approaches at both the strategic (program) and action (project) levels (ref. Modules V and VI);
> - Identify those key events in the program plan on the basis of which effective monitoring, evaluation, and corrective feedback can be carried out as the plan is being implemented (ref. Module VI).

The obligation of a training course is to present a model of things as they could or ought to be if the world were a more rational place and everyone in it were motivated by the purest of intentions, <u>while at the same time</u> providing useful skills and knowledge for the real world we all

live and work in. No one will be able to use and follow <u>all</u> of the advice, guidance, ideas, skills and knowledge presented in the following modules. But no one should leave the course without having at least <u>one</u> new idea that they can put to good use in their own planning environment.

References

[1]Radtke, P., Holland, V.M., Felker, D., and Shettel, H. *Criminal Justice Program Development Job Analysis Survey*. Washington, D. C.: American Institutes for Research, 1979.

Developing an Understanding of Problems

TEXT

Program development is aimed at finding and designing solutions to problems. How well this is accomplished depends heavily on two early steps in the process:

- The development of an understanding of the problem
- The selection of problems for program intervention

In this module (II), this part of the program development process is discussed.

Developing an Understanding of the Problem

Program development can be thought to begin when a problem is first identified. How the problem is described and explained plays a major role in determining how the problem will be addressed. People tend to react to the most obvious and dramatic aspect of problems. This initial perception, however, may be based on inadequate or partial evidence. This can lead to erroneous assumptions about the problem, its causes and effects, and how it can be "solved." In the General Planning Process Model, the initial identification of a problem is followed by a period of careful analysis. Through this process, the characteristics of the problem are clarified. Through analysis the boundaries and characteristics of the problem are defined, thus confirming, revising, amplifying, or replacing the earlier assumptions made about it.

The major product of the analysis process is a document that spells out what is known or suspected about the problem--the Problem Statement. This document serves as the primary basis for decisions about whether to initiate a program to address the problem. If a decision to act is made, the Statement can also serve as the major source of information about how the problem could be solved.

Problem Statement Format. Problem Statements differ greatly from jurisdiction to jurisdiction. In this course we have adopted the format and content as taught in the course on Criminal Justice Analysis, a companion course in this training series. The recommended format for the Problem Statement is shown on the following page. This format is comparable to the standard format used in technical and research reports in the social sciences.

According to this format the Statement should begin with an introductory description of the problem and the major concerns and issues surrounding the problem. This should be followed by a detailed description of how the problem was analyzed. In a good Problem Statement the discussion of methodology should enable any reader to assess the technical adequacy and limitations of the analytic methods.

Following the methodology section, the Statement should next present the findings viz à viz the hypotheses tested in the analysis. The Statement should specify these hypotheses explicitly and indicate the theory or assumptions behind each. The interpretation of the findings is presented next. This

discussion should lay out the implications of the findings:

- The extent to which the findings confirm or refute the original assumptions about the problem
- Specific characteristics about the problem not previously suspected
- Additional questions or hypotheses raised by the findings
- Limitations in the findings
- Alternative explanations for the findings

The Problem Statement should conclude with a brief summary of the findings and interpretations and additional materials, calculations, or technical discussions supporting the analysis.

Assessing the Adequacy of Problem Statements

Based on a survey of criminal justice planning agencies, discussions with criminal justice planners, and our own examinations, it is clear that the quality of problem statements produced in the system varies widely. Because the Problem Statement can be an important input to the program development process, it is important that the program developer has confidence in the contents of the Statement and is aware of the limitations and defects in the Statement. This same requirement holds true for any other sources of information about a problem the program developer may use. Consequently, the process described in the course provides for a preliminary assessment of the Problem Statement before any decisions are made to proceed with the development of a program. The purpose of this assessment is to

identify those Problem Statements that fail to meet certain criteria of adequacy and to develop a detailed understanding of the problem.

Criteria for Assessing the Adequacy of Problem Statements

There are two general aspects of the Problem Statement that should be assessed by the program developer: the technical adequacy, and the conceptual adequacy of the statement.

Technical adequacy refers to the quality of the information contained in the Statement and the appropriateness of the analysis used. The criteria to assess technical adequacy are the same as those applied to any other analytic work. Among the technical aspects of the Statement to be assessed are:

- The research design applied by the analyst,
- The measures and variables used in the analysis,
- The size and characteristics of the data sample,
- The statistics used to analyze the data.

Research design refers to the overall analytic strategy used by the analyst to answer certain questions about a problem. In a good Problem Statement these questions are identified explicitly in the form of hypotheses. However, in other instances it will be necessary to infer the questions that are tested through a careful reading of the Statement. The primary criterion of an adequate research design is that it allows the analyst to answer or test the research questions posed.

The first step in assessing the research design is to identify all of the questions the analysis attempts to answer.

The second step is to determine how the analyst attempted to test the hypothesis. Since there are always a variety of ways to do this, the assessment should consider the relative value of the alternatives. In general, a design which permits a comparison--between groups of subjects, before-and-after comparisons--are more powerful than those which merely collect undigested facts.

A third step in assessing the design is to look for uncontrolled threats to validity. A valid research design is one where extraneous factors, factors not directly relevant to the hypothesis are accounted for or controlled. This control is necessary if the analyst is to be able to state that Factor A is related to Factor B.

Measures and variables. A second aspect of the Problem Statement to be assessed is the way in which the data used in the analysis was gathered and defined. The first step in this assessment is to identify all of the measures and variables used in the analysis. Again, in a good Problem Statement, these will be identified and described in detail.

In assessing the use of measures and variables the program developer should ask the following questions:

- Is the analyst measuring what he or she thinks is being measured? Police arrest rates may be a good indicator of police performance and productivity, but may be poor indicators of the volume of crime being committed.
- Are the measures and variables representative of events in the real world? A concept such as "recidivism" may encompass a broad array of specific events ranging from a released offender breaking parole to holding up a liquor store. By lumping all such events into a single measure the analyst may be presenting an inaccurate picture of real world events.

CONTINUED

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- If the same analysis were conducted again using other data would it produce the same or similar results? Many analytic findings are the product of purely local conditions and could not be replicated anywhere else or even at any other time. The program developer must consider whether the findings are generalizable beyond the location or moment the data was collected.

The Sample. The third technical aspect of the Problem Statement to be assessed is the adequacy of the data sample used in the analysis. Did the analyst use all of the data available, or was a sample selected? In general, a survey of the total universe of data points is ideal, but seldom feasible. If a sample was used, how was it selected? Random selection is preferable. Otherwise a matching of subjects is allowed if all relevant variations are accounted for in the sample. The program developer should be aware of any selection biases that make one group of subjects more likely to be picked for analysis than another.

Related to the representative adequacy of the sample is the matter of sample size. There are no fixed rules related to the minimum size of a sample. However, the larger the sample the better the predictive power of the analysis. The program developer should ask:

- Is the sample size roughly proportionate to the number of variables being gathered? The greater the number of variables, the larger the sample should be.
- Is the sample large enough that it is likely to contain most of the variations found in that population (e.g., most age groups, most major ethnic groups, most neighborhoods, most police ranks, etc.)?

The critical question related to the sample is, does the sample size or characteristics permit the analyst to generalize about the entire population, i.e., is the sample reasonably representative of the population as a whole?

Statistics. The adequacy of the statistical methods used in the analysis is a highly technical subject beyond the immediate capacity of this course. The reader is urged to refer to a good standard text on statistics in making this assessment. Several useful works are referenced in the appendix of this module. This discussion will be limited to a few common problems in the use and misuse of statistics.

- Percentages are widely abused in Problem Statements. The most common abuse is the failure to present the whole numbers upon which percentages were calculated. A statement that, "40 percent of the respondents in our survey indicated that they felt police protection was inadequate" is meaningful only if the number of persons responding is also reported. In this instance the statement may mean that 2 out of 5, 4 out of 10, or 400 out of a thousand had this opinion. It should be noted that there are statistical tests of significance which can be used to estimate the degree to which changes or differences in percentages are meaningful.

- Averages are often abused in a similar fashion as percentages. For example, a statement that the average number of years of education among police officers is 14 years obscures the fact that a sizeable number of officers may have a much smaller educational attainment. Interpretation of averages should be accompanied by an appreciation of the range and overall distribution of the total population. Again, there are tests to estimate the statistical significance of differences or changes in averages.

- Correlations are not frequently used in Problem Statements. When they are, however, a common error is to assume that if two factors are highly correlated one factor caused the other. A correlation only measures the degree to which two or more factors change together, in a regular or uniform fashion. This may be because of some third factor or pure chance. There are numerous examples of factors that vary together in a regular fashion over many years (e.g., ice cream consumption and the number of drownings per month). In highly complex systems, organizations or societies, many similar correlations can be found for which the third common causal factor is not obvious.

Technical adequacy is the minimum requirement of any problem statement. Unless the statement can meet minimum methodological criteria, the program developer and decision-makers are seriously limited in the kinds of decisions they can make about the problem. Indeed, unless the statement meets these criteria, there may be little basis for assuming that the problem exists at all.

Conceptual adequacy refers to the substantive quality of the problem statement--how well the statement describes and explains the problem. The criteria to be applied in this area are necessarily less precise than those used to assess technical adequacy.

In general, the description of the problem in the Problem Statement should be relatively comprehensive. The explanation of the problem should be complete and logical.

Comprehensiveness. The Problem Statement should serve as the major source of relevant information about a particular problem. It should contain as much information about the problem as the limits of time and space allow. At a minimum the statement should present information on the following topics:

- What is the problem? The Statement should provide a clear description of the type of problem under examination. It should specify whether the problem is related to a specific crime, the way the criminal justice system works, the secondary effects of crime, or a combination of all these.

- What is the size of the problem? The Statement should indicate the magnitude of the problem. If the problem is one of crime, the Statement should state how often the crime is committed. If the problem is in the system itself, the number of times the problem arises should be reported. If it relates to some secondary effect of crime, the number of people affected should be given.

- How has the problem changed over time? The statement should provide a history of the problem. Is it a new problem? A long-standing problem? An old problem that has suddenly increased in seriousness? If the problem has changed over time, the Statement should also indicate how fast the change has occurred.

- How serious is the problem. The Statement should indicate the extent to which the problem poses a critical situation for the system in terms of costs, public confidence, or the ability to operate. Similarly, the statement should indicate how serious the problem is for the community or segments of the community as a whole.

- Who is affected by the problem? The Statement should indicate the people, groups, organizations, and agencies that are affected by the problem. The Statement should also indicate how these people, groups, etc., are affected and the seriousness of the problem for each.

- Where is the problem located? The Statement should indicate how widespread the problem is. Is it confined to a single neighborhood? A single community? A region? Or is the problem scattered about in various places? Is it a statewide problem? A national problem?

- When does the problem occur? The Statement should indicate the temporal or cyclical nature of the problem. Is the problem more prevelant at certain times of the year? On certain days of the week? Certain times of the day? Does the problem display any regular trends or is it a continuous problem?

- How does the criminal justice system respond to the problem? The Statement should indicate which parts of the criminal justice system have responsibility for dealing with the problem. If agencies outside the system are also involved, this should also be reported. The Statement should give an assessment of how well the system responds, where response problems exist, and why.

- What factors are associated with the problem? The Statement should indicate what is known about the root causes of the problem, the factors that make the problem more or less likely, and the secondary effects the problem creates. If possible, the Statement should also indicate if there are any

theories about the problem and what the best thinking says about the causes and effects of the problem.

Completeness of Explanation. If a Problem Statement describes the problem in a comprehensive manner, the next aspect to be assessed is the completeness of its explanation of the problem. To be most useful, the contents of the Statement should form a conceptual whole. That is, the parts of the problem should fit together in a way that makes it apparent why A leads to B or why the problem has the characteristics it does. Unless the information can be organized in this fashion, the Statement remains a collection of unconnected facts.

The conditions and events described in a Problem Statement tend to fall into one of the following categories:

- Presumed causes
- Primary effects
- Secondary effects
- System response

The presumed causes of the problem are those conditions or events that are thought to come before and lead to the expressed concerns and related events and effects. For example, many persons believe that poverty is a major antecedent of crime. Other factors in this category might include: poor child-rearing practices, personality, and economic incentives. Other factors are more immediate and might include: peer group pressures, opportunities to commit a crime or the subjective estimate of being detected and caught.

The primary effects of the problem are those conditions and events that directly result from the presumed causes. They are often the most immediate and obvious aspect of the problem. For example, the incidence of burglary in a community may be the primary effect of an increase in drug trafficking.

The secondary effects of a problem are those conditions and events that directly result from the primary effects and indirectly result from the presumed causes. For example, a rise in the number of street crimes may result in fewer people leaving their homes at night. A high crime rate may result in an increase in public fear of crime.

The fourth set of conditions and events are called the system response components. They refer to those conditions or events in the criminal justice system, or some other relevant system (e.g., schools, public welfare agencies) that have an effect on, or are affected by the problem's presumed causes or effects. For example, the ability of the police to detect and apprehend drug traffickers will affect the presumed causes of the burglary problem. At the same time, a rise in the fear or crime may result in greater police efforts to crack down on burglary or drug trafficking. Thus, factors contained under the system response category are important parts of the portrait of the problem as it is presented in the Problem Statement.

The Logic of the Explanation of the Problem

By organizing the components of the problem into presumed causes, primary and secondary effects, and system response components the program developer can gauge how complete the

explanation of the problem in the Problem Statement is. However, a true understanding of the problem requires that these conditions and events be organized into a logical structure so that the linkages or relationships among the different conditions and events are explicit.

In an ideal Problem Statement these relationships are specified and tested in the form of hypotheses. An hypothesis is a statement that asserts a relationship among either concepts, variables or measures. However, very often these relationships are not stated specifically but are merely implied as assumptions about the problem. For example, a Problem Statement which states that ex-offenders who are able to find good, well-paying jobs within a month after release are less likely to recidivate than those who do not is implying a relationship between two variables: employment opportunity and recidivism. Such a statement might be based on a detailed statistical analysis of hundreds of ex-offenders, the testimony of an expert in the field, or the "gut" impressions of a seasoned parole officer. Whatever the evidence used to support the statement, such relationships are extremely important to a program developer. First, they help to explain the problem of recidivism in a way that goes beyond merely describing the components of the problem. Second, they provide clues as to possible ways of dealing with recidivism or other problems. Thus, as a step in understanding a problem, the program developer must be alert to identify all such relationships, stated and implied, in the Problem Statement.

However, while it is important for the program developer to be aware of all relationships between components of the problem, the program developer should also be cautious in attaching too much faith or confidence in any one relationship in isolation of other possible factors or effects. Many factors contribute to an event, including many that are beyond the immediate observation of even the most careful analyst. Moreover, these many factors interact in extremely intricate ways so that the net effect of any one may be difficult or impossible to detect. Finally, even with sophisticated analytic and statistical techniques, the evidence of a relationship can be misleading. Thus, to return to our example, while recidivism may be related to employment opportunity it may also be related to the ex-offender's background, his experience in prison, his family's encouragement and his parole officer's energy and concern. To isolate one factor as the key to recidivism or any other problem is probably a mistake, no matter how strong or intuitively "right" the evidence.

The Boundaries of the Problem

The final conceptual aspect of the problem to be considered is what we call the boundaries of the problem. The boundaries of a problem are defined as the range of conditions and events beginning with the presumed causes and encompassing the primary and secondary effects and the system response factors described in the Problem Statement. This area could be called the domain of the problem--that segment of the entire range of possible events and conditions examined by the analyst.

It should be apparent that the selection of one factor as a presumed cause or primary or secondary effect is somewhat arbitrary.

For example, consider a causal chain of effects where:

- Drug trafficking (leads to)
- Increased burglaries (leads to)
- Increased fear of crime by the citizens

If the primary effect was perceived as the increase in burglaries, then the increase in drug trafficking would be seen as the presumed cause, and the increased fear of crime would be a secondary effect. If, however, the primary effect was seen as drug trafficking, the chain could be extended so that:

- Organized crime (leads to)
- Increased drug trafficking (leads to)
- Increased burglaries (leads to)
- Increased fear of crime.

This is not a trivial or academic problem for the program developer. In assessing the logic of the Problem Statement, the developer must determine whether the analysis has identified realistic boundaries of the problem or has isolated too small a segment of some larger and more complex problem. Conceptually "the problem" encompasses <u>all</u> of the factors associated with the concerns or characteristics first observed.

<u>Modeling The Problem</u>

There are three steps involved in constructing a problem model:

- Identifying the important aspects of the problem itself

- Organizing those aspects of the problem into a logical pattern
- Identifying logical linkages between the different aspects.

The <u>important aspects</u> of the problem are those conditions and events which characterize, define or are associated with the problem. For example, research on the problem of offender recidivism have identified specific conditions and events which characterize the problem. For example:

- Economic factors--job opportunities for ex-offenders;
- Social factors--the stigma of having a criminal record;
- Psychological factors--the inability of the ex-offender to handle frustration and rejection;
- System factors--the tendency of the police to suspect an ex-offender more readily when a crime is committed.

These factors, among others, tend to define the recidivism problem. They are the conceptual labels or, more technically, the constructs which we use to discuss, define, describe and explain the phenomenon of recidivism.

As this discussion implies, we arrive at these constructs through research, debate and reflection until something like a consensus emerges and people with an interest in the problem

begin to talk in common terms. This is a long and open-ended process. But for the program developer, armed only with the facts in a Problem Statement, the process necessarily must come to a temporary halt. Taking what he has he must fashion a response.

The second step in constructing a model involves organizing the important aspects of the problem into a logical set of categories. There are many ways to do this, but for purposes of this discussion we propose four categories of conditions and events which can be used to organize our understanding of the problem. They are:

- The presumed causes of the problem
- The primary effects of the problem
- The secondary effects of the problem, and
- The system response aspects of the problem.

The presumed causes of the problem, as the term implies, are those conditions and events that are presumed to lead to, produce or contribute to primary effects and, indirectly, to create the secondary effects. The system response aspects of the problem relate to how the system--the criminal justice system or some other formal system --affects or is affected by the problem.

The third step in the process is to identify the logical linkages between the important aspects of the problem. These can be defined in terms of probability estimates, measures of association or simply theoretical suppositions. In a good

Problem Statement the linkages are demonstrated through the testing of precisely stated hypotheses. More often, they are only implied in the facts presented in the Statement.

Once the linkages have been identified the program developer has all of the components he needs to construct a logical model of a problem. This model can then be used to assess not only the quality of the Problem Statement itself, but also the degree of understanding the program developer has about the problem. A brief example illustrates the process.

Assume that the Problem Statement presents us with the following facts:

- Vandalism occurs most often in schools in areas with depressed economic conditions
- High rates of vandalism are thought to contribute to accelerated turnover among school staff and faculty
- Vandalism results in higher costs for repair and upkeep of schools
- Police manpower is not adequate to patrol areas around schools
- Only a small percentage of vandalism incidents result in an arrest

The important aspects of the school vandalism problem, according to the Problem Statement are:

1) Economic conditions in the area around schools
2) The level of vandalism in the different schools

3) The rate of staff and faculty turnover

4) The cost of repairing and maintaining schools

5) The level of police manpower

6) The number (or level) of patrolling around schools

7) The number of arrests for vandalism.

These important aspects of the problem can be organized, according to our four-way typology as follows:

- Economic conditions in the area around schools is a presumed cause in that it appears to be a good predictor of vandalism levels.
- The actual level of vandalism and the costs associated with repairing and maintaining the schools are considered primary effects of the problem--the outward and most obvious aspects of the problem.
- The accelerated rate of staff and faculty turnover is considered a secondary effect in that it is only indirectly related to vandalism.
- The level of police manpower, the number of level of police patrol around schools, and the number of arrests for vandalism are considered the system response aspects of the problem.

The linkages between these important aspects of the problem are fairly obvious: economic conditions in the area around schools somehow lead to increased or decreased levels of

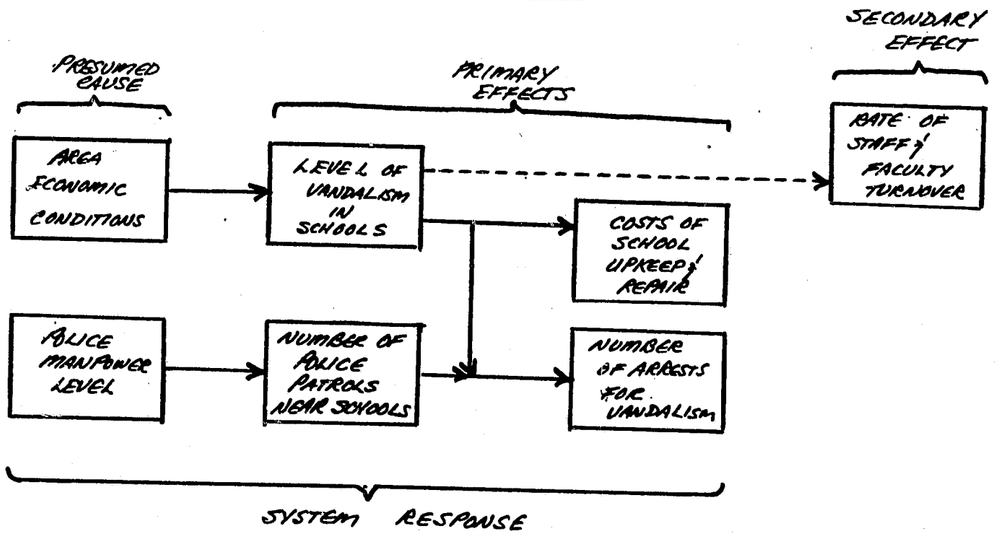
vandalism in those schools; the level of vandalism is related to repair and upkeep costs and to the rate of faculty and staff turnover. Because police manpower levels are inadequate there are few police patrols near schools so that few vandals are arrested for their crimes.

The figure of the following page presents a crude version of the model of the school vandalism problem. In a more complex problem, with more important aspects of the problem identified, such a model could be invaluable in assessing both the quality and adequacy of the Problem Statement and the level of understanding the program developer has of the problem. Even this crude model points to some obvious gaps and flaws in our understanding.

- We know virtually nothing about how or why economic conditions relate to school vandalism levels.
- Is the rate of staff and faculty turnover related only to vandalism levels or perhaps is it only related indirectly due to the same depressed economic conditions found in areas with high rates of vandalism?
- What other factors beside the level or number of police patrols are related to the number of arrests for vandalism?

Thus, the developer has improved his or her understanding of the problem and of the possible logical pitfalls to be avoided when looking for possible solutions to the problem. The program

MODEL OF THE SCHOOL VANDALISM PROBLEM



developer should not be obligated to correct an inadequate Problem Statement. If, in the developer's judgment, the Statement is not adequate, the developer should document where the gaps or inconsistencies exist and suggest that they be corrected before any further action is taken. If a decision to proceed on the basis of an inadequate Statement is made, the developer will have the information necessary to attempt to fill in gaps during development, and will have fulfilled a professional obligation to demand the best possible analytic foundation for his or her development activities.

Setting Priorities Among Problems

After a problem has been identified, defined, and the analysis of the problem has been assessed and accepted, the next step is the decision to proceed to develop a program. In an ideal system, such a decision could be made purely on the merits of the problem itself. In the real world, however, this decision must be made in reference to other problems in the system. Because resources, manpower, and time are limited, planners and decision-makers are forced to set priorities among problems, directing more attention and resources to the solution of some problems now, leaving others for the future.

What is it about a problem that makes it more or less important than some other problem? In a universal sense, there is no answer to this question. The concept of importance is essentially a matter of subjective perception. Perceptions are shaped by a combination of past experiences, immediate concerns

and future expectations. Since people tend to differ widely on each of these variables, it is difficult (and perhaps impossible) to reach universal agreement on what is or is not important. If tomorrow someone were to propose an objective scale of importance against which all problems could be measured, it is a safe bet that few would agree with it and fewer still would abide by it.

Despite the inherent difficulty of reaching agreement on matters of universal importance, it is obvious that decisions must be made and are made every day where choices of this type are involved. Over the years, society and organizations have devised a variety of methods to make difficult choices: majority rule, the enlightened (or unenlightened) despot, divine revelation, or random chance. More recently, an entire field of research and theory has been built up to study and perfect decision strategies. These studies have taken two different perceptions:

- To improve the use of available information in decision-making
- To improve the degree of consensus about the decisions that are made.

The first of these approaches has led to the development of improved information gathering and handling techniques and increasingly sophisticated methods of analysis to aid decision-making broadly included under the discipline of operations research. The second approach has focused on the dynamics of group decision-making and on the development of techniques to

achieve compromises and resolve disputes within groups otherwise included under the lable of oragnizational development. Both approaches have produced a substantial body of literature ranging from very practical, applied techniques to highly theoretical, analytic methodologies. Both areas of research are particularly relevant to program development. Selected sources of information in these areas are included as an appendix to this module. This discussion will focus on several issues common to both areas of interest.

Varieties of Priority-Setting Approaches

There are a variety of techniques to establish priorities in the criminal justice planning system. Priority-setting can be done informally through a process of compromise and "horse-trading" with little more than the individual opinions, wants and ambitions of the participants to guide the process. It can also be done through a very formal process, using standardized procedures and weighted decision criteria. Both approaches have inherent advantages and disadvantages. The informal approach provides enough flexibility for decision-makers to reach consensus on their priorities. It provides a mechanism where everyone's wishes and needs can be met to a certain degree. Moreover, such decisions can usually be made quickly with a minimum of conflict.

The disadvantages of the informal approach arise primarily from its advantages. Flexibility can easily evolve into an extremely inconsistent process. There is the danger that less

powerful interests will be ignored or consistently overridden, regardless of the merits of the issues they raise. The advantage of maximizing everyone's satisfaction with a set of priorities can result in no one's problem being adequately met. Resources which might better be expended resolving a few select problems could end up being squandered on a larger number of relatively small-scale problems. Finally, while decisions can be made quickly in an informal process, this speed may be purchased at the expense of an inadequate understanding or reflection on the choices.

The advantages of a more formal approach are relatively apparent. Formal methods:

- reduce the amount of purely subjective input to the decision-making process
- reduce the probability that decisions will be made in reaction to temporary crises or transitory opinions and fads
- increase the consistency of decisions, and
- reduce the area of possible conflict or disagreement over decisions.

However, formal approaches reduce the flexibility of decision-makers and, if taken too far, can make the process overly mechanical. There are always certain problems that defy pre-formulated criteria and categories. They also tend to reduce individual accountability for decisions and reduce the amount of detailed assessment decision-makers apply to their decisions.

The Need for Consensus. In the priority-setting process consensus is particularly necessary. The decisions made at this point may dictate the future policies and the resources that will be available for many years to come. For the program developer, consensus among decision-makers is also necessary if subsequent decisions and plans are to succeed. Consequently, the program developer should be sensitive to the need to maximize the degree of understanding, reflection and agreement among decision-makers at this point in the process.

There are specific techniques that have been perfected to enhance the amount of agreement among decision-makers while still producing quality decisions. These techniques usually entail the adoption of certain basic principles of group decision-making. Under these principles participants should:

- Focus on defeating the problem rather than defeating each other
- Seek facts to resolve issues
- Accept conflict as helpful, so long as it does not generate threats or defensive behavior
- Avoid behavior which cuts off or limits the free flow of opinions and ideas.

Among the techniques that have been developed are:

- Nominal Group Technique -- a group decision-making procedure in which interested or expert

participants identify, discuss and select one or a set of answers to a specific question. The technique involves face-to-face group interaction under a highly structured set of rules and procedures.

- Brainstorming -- a group decision-making process intended primarily to identify a broad range and variety of responses to a specific question or issue. This technique can be used by staff to bring a large number of persons into the process and to broaden the range of options from which they can subsequently choose.
- Surveys -- a technique in which a planner or program developer can tap the ideas, opinions or attitudes of a large number of persons in a community without direct contact. Surveys are used most often to investigate such factors as public opinion, the opinions of certain population groups or a particular group of decision-makers and experts.
- Delphi Technique -- a device in which experts or persons knowledgeable on a certain question are systematically surveyed for their opinions, ideas or attitudes. The technique usually involves a series of such surveys in which the

results of previous surveys are fed back to the participants. The process continues until either a clear consensus emerges or the conflicting "schools of thought" about the subject have been identified.

Each technique places a great deal of emphasis on the need to produce both acceptance and quality in decisions, open sharing of ideas and information, and the depersonalization of decisions. The details of each technique can be found in several of the references cited in the appendix of this module.

Criterion-based techniques. Whether priorities are set, formally or informally by groups or individuals the basic process is the same. Invariably priorities are set on the basis of certain criteria. The criteria may be explicit or ad hoc. They may be applied consistently or they may vary from case to case. The criteria may be the same for all decision-makers or each decision-maker may make up his or her own. The extent to which the criteria are explicitly stated, consistently applied, and used by decision-makers as a group defines how formal or informal the process is.

A further distinguishing feature in the priority-setting process is, who sets the criteria? In an informal process this decision is usually made by each decision-maker individually. However, as the process becomes more formal the decision may shift from the decision-makers to the program developer as the most knowledgeable and objective resource person. In those planning agencies where the decision-makers rely on the

professional planner or program developer to advise on decisions the criteria may,in fact, be wholly determined by the developer or planner. By contrast, in those agencies where the professional planner or developer merely staffs the decision-makers deliberations, his or her role may be reduced to facilitating the priority-setting decisions without making any independent input to that process.

Regardless of the process used to set priorities, the program developer should have an independent sense of the priority of the problems in his or her system. Even if decision-makers only take the developer's recommendations on advisement the developer should be prepared to justify these priorities on the basis of sound, factual arguments. This means that the developer should have a set of criteria to rate the relative importance of problems.

Developing criteria. There are several approaches to developing criteria to set priorities. A common approach is to adapt existing ad hoc criteria into more explicit and detailed standards. For example, problems may be typically distinguished on the basis of the number of people affected by the problem. This loose criteria could be made more explicit by developing a scale on which each problem could be rated. Problems affecting larger numbers of people would receive a higher rating on the scale than problems affecting few individuals. Similar scales could be constructed for other broad ad hoc criteria such as the geographic location of the problem, the costs the problem creates for criminal justice agencies or the prevailing attitude

of the public toward the problem. By rating each problem on a set of specific criteria, the program developer can produce overall scores of importance or seriousness which can be compared or ranked in a consistent fashion.

A second approach to criteria-building is to poll decision-makers and other informed individuals on their own criteria of importance. This can be done through face-to-face discussions, or through the use of questionnaires. The responses of the decision-makers can then be compiled, compared and synthesized to produce a master list of criteria. This approach has the distinct advantage of forcing decision-makers to be explicit about what they consider important. It also provides a broader range of possible criteria than the developer might produce working alone.

The third primary approach to criteria building is the basic process of "trial and error." Starting with a relatively broad range of criteria, the developer can gradually reduce or revise the list based on actual experience. Eventually the list can be reduced to a smaller more manageable number with which the developer and the decision-makers are comfortable.

Types of criteria. It is expected that no two agencies would adopt the same set of criteria to rate the importance of problems. Localized factors such as the degree of homogeneity within the area served, the size and scope of the area's crime problem and the balance of interests within the jurisdiction will dictate what the criteria will be and how much weight each criterion will carry.

In reviewing the priority-setting criteria of several jurisdictions, we noted a general consistency in the kinds of factors or criteria examined. In general we noted two broad categories of criteria used:

- Criteria related to matters of fact
- Criteria related to matters of opinions, attitude and value.

For purposes of this course we will label the first set factual criteria and the second set qualitative criteria.

Factual criteria tend to focus on factors related to the problem as a discrete whole. They also sometimes reflect the agency's internal policies, goals, or the existence of programs that might be affected by the problem. Among the criteria in this category are:

- Size of the problem -- How many people are adversely affected by the problem? How often does the problem arise?
- Cost of the problem -- How much money is spent to address the problem now? How much is lost because of the problem? Are there any secondary costs which are known to exist but cannot be precisely calculated? Who bears these costs, and to what effect?
- History of the problem -- Is this a new or an old problem? Has the problem increased, decreased or remained at the same level?

- Knowledge of the problem -- How much is known about the problem? How adequate is the research on the problem? Are the presumed causes known? The secondary effects? Is the evidence clear that the problem really exists? Is this evidence adequately documented?
- Location of the problem -- Is the problem concentrated in a few locations or does it exist over a broad area? Is it confined to a few jurisdictions? What are the characteristics of the locations where it is found?

Among the criteria relating to internal policies and goals are:

- Past efforts -- Has the agency ever tried to deal with the problem before? If so, what were the results? Does a program or project currently exist that deals with the problem?
- Standing priorities -- Does this problem fit within existing priorities of the agency? Does it fit within the priorities established by other planning agencies? Does it fit within the priorities of relevant operating agencies?
- Commitments -- If a program were initiated to deal with this problem would it entail a major or minor commitment? Would it require

a long- or short-term commitment? How would it affect the availability of resources now and in the future?

- Expected impact -- How soon would it be before the problem would be significantly or noticeably affected? Would a program produce immediate results? Long-term results?

Qualitative criteria usually focus on factors relating to perceptions, opinions, attitudes and judgments. Unlike criteria addressing factual matters there is considerable room for disagreement, conflict and purely subjective judgment in this area.

The following are examples of qualitative criteria used in various agencies around the country:

- "Importance" of the problem -- Several agencies attempt to define the importance of problems based on the collective responses of decision-makers. This may be done through a ranking procedure in which the decision-maker assigns a rank or weighted score to a set of problems. These scores or rankings are assumed to reflect the individual preferences or attitudes of decision-makers regarding those problems.

- Public opinion -- How does the public regard a problem? How important is a problem to the citizen? Several agencies utilize public opinion polls to tap the attitudes of the public. In other instances the representatives of various citizen groups are polled to gather their opinions.
- Equity -- In several agencies the decision about the priority of problems is based on the principle that all elements of the system or all areas of the jurisdiction should receive a "fair share" of attention. Thus, a problem raised by a jurisdiction or agency that had not received attention previously might be assigned a higher priority.
- Goal enhancement -- In certain agencies problems may be assigned a higher priority if they provide an opportunity to advance a particular goal or agenda. In some instances this may be a desire to recruit a particular agency into the planning process -- particularly an agency that had not been involved or had resisted involvement before. It might also result from a desire to demonstrate a particular idea or intervention technique for which the problem is particularly appropriate.

The examples given here do not constitute a complete inventory of possible priority-setting criteria. The criteria themselves vary greatly in terms of specificity and content. In addition, the criteria vary in terms of the amount of effort needed to apply them. Applying factual criteria almost invariably involves more work for the program developers and analysts than applying the qualitative criteria -- which is probably why relatively few agencies rely heavily on factual criteria in setting priorities. However, if the priority setting processis to result in the selection of suitable, well-defined problems, a balance should be struck between the two kinds of criteria.

The Priority-Setting Process

A simple and useful approach to setting priorities is to assign weights or numeric values to each criterion. Criteria which are considered more important or decisive will be assigned a higher weight. Lesser criteria are assigned a lower weight. In this fashion a total score can be computed for each problem on all criteria. The problems can then be ranked according to their total scores. This technique should not be followed slavishly. It should be used to help sort out problems into gross categories -- high, medium or low. Through this technique the number of problems under consideration can be gradually reduced so that the greater attention can be focused on those problems that rank consistently high of all or most of the criteria.

In some jurisdictions problems are initially sorted in the above manner based only on factual criteria. Those problems that fall at the top of the list are then presented to decision-makers for their subjective appraisal. This process has the advantage of reducing the number of problems under consideration to a manageable size and eliminating those problems that are obviously less important from the process.

It is also possible to use a process of successive ratings. Under this process, decision-makers are asked to make an initial ranking of all or some of the problems. If no agreement appears, the problems that were rated consistently low by all or most of the decision-makers are eliminated and a second ranking is made. By continuing this process one of two outcomes will appear. Either the decision-makers will gradually reach agreement on the problems ranked highest or lowest, or a clear division of opinion will emerge. If a clear and unyielding division emerges several options are available:

- Problems about which there is a clear polarization of opinion can be eliminated from consideration
- New information can be gathered to clarify the issues separating the decision-makers
- Compromises can be negotiated in which both positions are given part of what they want.

It should be understood that none of these techniques are foolproof or without problems. All of the processes described

here can produce results which will satisfy no one in the process. A useful way to conceptualize the priority setting process is to think of it as a careful balancing of the quality of decisions with the acceptance of decisions. If the program developer is intent on maximizing the quality of the decisions the result will usually be to reduce the level of overall acceptance. Similarly, if the developer is intent on producing maximum acceptance the quality of the decisions will usually suffer.

In attempting to reach a proper balance between quality and acceptance the program developer should keep certain basic rules of thumb in mind:

- The quality of a decision is usually a direct function of the amount of information applied to the decision. Thus, up to a point, the quality of a decision can almost always be improved if more information can be brought to bear.
- The acceptance of a decision is a direct function of the perceived equity and fairness of the decision. Thus, acceptance is easier to achieve if all relevant viewpoints are given an open hearing.
- The range of solutions should be narrowed to those that are both good and acceptable. Both acceptance and quality of decisions are

necessary in priority setting. A failure to reach consensus may result in subsequent blocking and conflict, thus defeating the decision despite its inherent quality.

- Conflict between viewpoints is not necessarily bad if it generates new information, clarifies issues and stimulates a search for creative solutions.
- Voting mechanisms should not be used to substitute for a direct confrontation on issues.* Although criteria weighting and ranking techniques are useful in sorting out problems at the extremes, they should not be used to mask real differences. A problem that emerges as the result of a one-vote majority or a decimal-point advantage may not be the best choice as the top priority problem.

The Role of the Program Developer in Priority Setting

The program developer may be called on to play a variety of roles in priority-setting. The essence of priority setting is deciding which of an infinite number of interests, concerns, pressures and biases should be given immediate public recognition and which must wait for attention some time in the future, if at all. It is unrealistic to assume that this type of decision can be reduced to a mechanical process. Individuals, groups, and oragnizations often invest a great deal of personal and collective effort to bring their problems to the fore.

Inevitably, some of these efforts will be frustrated when priorities are set, generating heightened emotions and intense reactions. Given this environment, it is almost impossible to channel decisions along purely rational or mechanical lines. For this reason, the program developer and planner must be as sensitive to the qualitative factors involved in priority setting as they are to the technical data and analytic findings they employ.

Political factors. The planning profession, over the years, has become much more aware of the importance and legitimacy of politics in program planning. Occasionally a frustrated planner will complain about the intrusion of political influences in the otherwise "rational" policy planning process. However, these statements are heard much less often, particularly from among the more successful planners in the system. Conventional professional wisdom now accepts the fact that politics is an inescapable reality of planning and that in many ways the effects of political factors are more complementary to the principles of good planning than they are antagonistic. The idea that "if only these irrational political influences could be removed, we could do a much better job improving the system" is given far less credence. A more typical attitude is that planners need to work with the political process, not as long-suffering prophet of the "one-right-way," but as an active and, hopefully, respected contributor to the process.

The central point about the relationship between political actors and program developers is that both are seeking the

same end--to solve pressing problems. The reward and accountability system that motivates decision-makers places great stress on finding solutions quickly that cause the least amount of pain, conflict, and controversy. If the program developer can provide a reasonable approach to making difficult decisions--such as setting priorities among problems--and can also help develop reasonable solutions to those problems, the decision-maker is much more likely to seek out his or her help in the future.

Public opinion often serves as a major limiting factor on the types of problems that can be addressed and the kinds of solutions that can be developed. It is true that most problems in criminal justice are not widely visible to the general public. However, the public does have certain fixed ideas about what is wrong with the system and what should be done about it. Issues related to the level of crime in the community, the degree of security from crime felt by the public, and the appropriateness of punishments meted out to criminals are highly salient in the public mind. In addition, certain short-term events, such as a rash of burglaries, a prison riot, or an unpopular court decision can raise these broad concerns to a high level of saliency, resulting in demands for immediate action. The fact that these problems may be beyond the immediate control of the criminal justice system, that they may be much less serious than the public believes, or that they are not susceptible to short-term remedies is of little relevance.

If these concerns are expressed long enough and strongly enough, they will eventually become high priority problems.

What should be the response of the program developer? There are several options. The most obvious response is to go along with public opinion and put more pressing but less visible problems aside. A second obvious response would be to ignore public opinion,hoping that demands for action will subside, but also running the risk of a more serious reaction in the future. The third option is to turn public demands for action into an opportunity to create needed changes while attempting to address those demands. The final option is to undertake a strategy of public education on the issues raised by the public.

Which of these options the developer will select will depend on a variety of factors:

- The degree to which there is any substance to the problems raised
- The amount of damage that would be created by addressing these problems rather than some other problems
- The damage that would be caused to the long-term viability of the planning effort if public opinion is ignored
- The probability that public education would create a real change in attitudes

- The program developer's personal sense of professional integrity weighed against his or her sense of obligation to follow the public will.

This is not a new problem or one unique to the critical justice planning system. The long-range solution to the problem is improved public understanding of the issues and limits of the system. The short-term solution, whichever option is chosen, should have that broader goal in mind.

Special interests. Criminal justice is a highly politicized system. It is also highly fragmented along lines of function; jurisdictional authority, and organizational structure. This has given rise to numerous public and private interest groups representing the parts of the system itself or the affected public. Within the sphere of their influence, these groups can exercise decisive control over how problems are defined and how they will be addressed.

Efforts to close the gaps between the parts of the system have been underway for many years. From the start, the criminal justice planning system has fostered this concept of criminal justice as a unified system with a certain level of success. However, cooperative arrangements across jurisdictional or organizational boundaries are still relatively rare. The result has been that programs and projects tend to focus on those specific parts of problems that can be handled within a single agency or community.

The model on which this course is built explicitly endorses the concept of program planning at the system level. For the program developer, this means that problems should be selected and attacked as system problems rather than as problems of a particular agency or criminal justice sector. This philosophy places a heavy burden on the developer to work with several interests and groups at the same time. It also requires the developer to work on the mutual cooperation of these separate interests toward a common end.

From the standpoint of good program development practice, one of the best ways to assure the cooperation of these multiple interests is to include them in the process from the beginning. This means working with the groups at the stage where problems are first identified, defined, analyzed, and assigned a priority. This may not be an easy task. Nor does it guarantee ultimate success. However, if such a mutual agreement can be achieved early in the process, the chance that a system-level solution can be found is greatly improved.

Summary

During these first few steps in the program development process we focused on two preliminary requirements: we assessed the adequacy of the Problem Statement and any other information we may have about the problem, and we tested our understanding of the problem itself. We assessed the Problem Statement for its technical adequacy; that is, the quality of the information, the techniques used to collect and analyze it and the validity

of the conclusions drawn. We also focused on the conceptual adequacy of the Problem Statement; the degree to which the Statement describes and explains the problem. On the basis of the information in the Problem Statement we constructed a conceptual model of the problem to identify logical gaps and assumptions in our overall understanding. Finally, we discussed the problems and methods of priority-setting when more than one problem must be considered for program development.

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Chapter III
Developing Strategic Goals

TEXT

The Purpose of Goals in Program Development

The purpose of goal setting in program development is to focus attention on the desired end-point the program is to reach. By focusing on the end-point of the program, it is easier to begin thinking about alternative ways of getting there. It also forces planners, program developers and decision-makers to be specific about the conditions they are trying to change and, ultimately, whether it is reasonable to try. For example, it may be relatively easy to identify and select the problem of juvenile gangs as a high priority problem. However, having made that decision, the question immediately arises, what is a reasonable goal to set in relation to this problem? Should it be to totally eliminate juvenile gangs in the community? Or should it be to merely reduce the number of gangs? Or would it be more reasonable to try to reduce the amount of crime committed by gangs? If so, which crimes? And by how much? Goal-setting forces everyone involved in solving the problem to clearly state the ends they are trying to reach in concrete terms, thus illuminating the numerous alternatives and decisions they will be required to make.

The critical word is "reasonable." The desired purpose of goal-setting is to establish reasonable goals--goals that can be realistically pursued given existing conditions. At the same time realism must compete with idealism, the desire to make changes that have a significant and useful impact. If strategic goals are set too low, in order to be certain they can be met, there is the real danger that no real changes will be made. A goal should motivate the persons involved in the program to work hard in expectation that something worthwhile will be accomplished. Thus, if the program's goals are to be reasonable they must reflect a delicate balancing of both realism and idealism.

Apart from specifying what the program is intended to accomplish, goal-setting can be used to solidify the resolve of persons to attack a problem. A goal can be a useful device to recruit people to solve problems. It creates a common bond between diverse interests and makes cooperation between those interests much easier to accomplish and sustain.

For the criminal justice program developer, goal-setting provides an additional occasion to look at problems and solutions from a system-wide perspective. Few worthwhile goals can be accomplished within a single agency or criminal justice sector. Consequently, goal-setting provides an opportunity to think broadly and creatively about solutions.

Finally, goal-setting can also be seen as a decision-point at which several very important choices are made and

numerous alternatives are foreclosed. A useful analogy to illustrate this function of goal-setting is the first meeting between a property developer and an architect. Before the meeting the architect only knows that the developer wants a new building designed. But it could be almost any kind of building: a house, an apartment complex, a shopping center, or a cathedral. The developer tells the architect that he wants to build an office building. Immediately the number of options has been drastically reduced. The developer further indicates that it should house 350 people. Again the options are reduced. In addition, the building should be attractive, distinctive, and energy-efficient. Finally, the building must harmonize with its surroundings, be located on a quarter-acre lot, and be completed within two years.

In a few short sentences, the developer has drastically narrowed the number of options open to the architect. While the number of options remaining is still very large, and while it is not immediately clear that all of the features can be accommodated, this brief goal-setting exercise will have a significant impact on everything that happens from that point on.

Goals vs. Objectives

In criminal justice planning a distinction is made between goals and objectives. The principal feature that distinguishes these two concepts is the level of specificity. A goal is defined as:

> A desired future state expressed as results to be achieved; usually general and not time-limited.

By contrast, an objective is defined as:

> A specific condition to be attained by a specific set of activities, stated in time-limited and measurable terms.

Thus, goals are what we <u>want</u> to accomplish whereas objectives are what we <u>will</u> accomplish. Goals are stated in general terms whereas objectives are described in terms of specific, measurable conditions. Finally, goals are not normally scheduled for completion at a specific date. Objectives, being linked to certain activities are normally scheduled as part of a specific strategy.

<u>Levels of Goals</u>

In criminal justice planning a distinction is usually made between <u>normative goals</u>--what "ought" to be done--and <u>strategic goals</u>--what "can" be done. The distinction is not merely one of semantics or level of specificity. The distinction reflects two different ways of looking at a problem. Normative goals reflect or express the concerns of decision-makers, the general public or key parts of the community. From the program developers perspective those concerns are hopefully based on hard information and careful analysis, but even if not they reflect a serious commitment to do something about an intolerable situation.

By contrast, a strategic goal reflects a more analytic understanding of a problem. The problem itself is a "given." For the program developer the normative goal supplies the boundaries of the problem and the mandate to act. The strategic goal (or goals) supplies the policy orientation to be followed in attacking the problem. Strategic goals should reflect the most important components of the problem, i.e., the most important of the presumed causes, primary or secondary effects or system response components of the problem. Thus, the strategic goals might reflect a policy to attack the causes of a problem (e.g., poverty, unemployment, poor housing); the primary effects (e.g., the amount of property loss, the number of injuries, the number of arson fires); the secondary effects (e.g., the fear of crime, the trauma of rape, the relocation of businesses); or the system's response (e.g., the number of arrests, prosecutions and convictions). Thus, strategic goals can be thought to originate first, from the normative goal, insofar as it reflects the concerns of others; and from an understanding of the problem as developed in the Problem Statement

<u>The Strategic Goal Statement</u>

In criminal justice planning, a goal is best set forth in the form of a formal statement. The standard form for a goal statement is (a) an action verb followed by (b) a statement of what is to be accomplished. For example:

- The goal of this program is to (a) reduce (b) the number and expense of arsons committed in this city.

or

- The goal of this program is to (a) improve (b) the ability of arson investigation agencies to detect and prosecute arson crimes.

or

- The goal of this program is to (a) remove (b) the economic incentives for commercial arson.

The characteristics of a good strategic goal statement are:

- It should be clear, concise, and understandable.
- It should be based on adequate research and analysis of the problem in question (i.e., the problem statement).
- It should be consistent with existing policies, regulations, and laws.
- It should be responsive to the major issues surrounding the problem.
- It should be endorsed and formally adopted by all relevant decision-makers.
- It should be subject to change in the future if necessary.

In addition, a good strategic goal statement should reflect a sense of what is feasible, given the current understanding of the problem and existing conditions. However, the statement should also present a challenge to people in the system. In this sense it should convey a sense of the "good things" that could be accomplished if the goal is met.

In writing strategic goal statements, there is a tendency to equate the goal with the removal or reduction of the problem or some component of the problem. However, it is often more motivating to express goals in positive terms. To use the analogy of the property developer and the architect again, consider the difference between saying, "I want the building to be distinctive" and saying "I don't want this building to look like all the others." Similarly, consider the goal statement that says:

- The purpose of this program is to improve the ability of arson investigation agencies to detect and prosecute arson crimes.

and the statement that says:

- The purpose of this program is to reduce the number of arsons that go undetected and the number of arsonists who are not prosecuted.

Stating strategic goals in positive terms can also stimulate the creativity of the program developer. For example, consider the case of a community that has a problem with crime in its commercial district. The factor which brought the

problem to the attention of the planning agency was the concerns of merchants that people were afraid to come downtown to shop. If the community decides to attack this problem, a strategic goal might normally be stated as "to reduce the public's fear of being victimized in the commercial district." However, if the goal were stated in more positive terms--to increase the number of shoppers downtown"--an entirely new range of program activities is suggested. Such a strategic goal clearly implies that more should be involved in the program than merely putting more police on the streets. This strategic goal suggests numerous activities, many of which might be outside the criminal justice system (e.g., providing free parking, making the downtown physically attractive). Moreover, stating the strategic goal in this fashion makes it much clearer why reducing crime is important beyond the reason that crime is "bad" per se. In short, a well-formulated strategic goal statement can serve as a powerful stimulus to think creatively and comprehensively about possible problem solutions.

Alternative Strategic Goals

Strategic goal-setting is the process of identifying, describing and selecting the desired set of conditions the program will attempt to bring about. There are several ways to identify possible strategic goals. A useful place to start is to examine the conditions and concerns which first brought the problem to the fore. If the problem of residential

burglary was first identified through the concerns expressed by citizens, it is reasonable to make a reduction of those fears a strategic goal. If the problem of juvenile gangs was first recognized through the rising level of violence in schools, the reduction of that violence is a suitable strategic goal.

In some instances, normative goals may have been established before the problem was analyzed. The decision to study a problem more closely, by itself, is a tacit form of normative goal setting--a commitment to do something about a problem. Indeed, the analysis may have been initiated only to confirm or clarify normative goals that had already been established. The program developer should be aware of and sensitive to these earlier decisions. The thinking and motivations which first placed a problem on the planning system's agenda should be part of the goal-setting process at this stage and throughout the program development process.

Additional sources of strategic goals are:

- The individual or collective wishes of decision-makers
- Established agency policies and standards
- Existing laws and regulations.

For example, in the model of the school vandalism problem several probable ways of attacking the problem are suggested. The strategic goal could be to improve the economic conditions which appear to contribute to the problem. A second

alternative is to increase police manpower levels or make patrolling school areas a higher priority. Finally, ways could be explored to reduce the costs of vandalism by changing the physical layout or the materials used in schools.

The advantage of using the model of the problem in setting goals is that the options are laid out for the program developer in clear and concrete terms. In addition, by tying the goals to the problem model, the program developer is in a better position to begin thinking about the alternative strategies to achieve those goals.

The Need for Substantive Knowledge

To lay out realistic and specific strategic goals requires a basic knowledge of the problem and the issues and circumstances surrounding the problem. Substantive knowledge of this sort is beyond the scope of this course. However, it should be understood that strategic goal-setting in the absence of sound knowledge can be extremely dangerous for the long-term success of the program. If the program developer does not have this working knowledge of the problem he or she should recruit persons who do. This may mean going to knowledgeable and experienced persons in the agencies that deal with the problem. It may mean going outside the system to persons who have studied the problem. Finally, it may mean going to other planning agencies in the system for advice or technical assistance.

The Need for Specificity

The definition of a strategic goal discussed previously indicated that a goal is usually stated in general terms. However, this does not mean that the strategic goals should be stated so broadly that the goals have no concrete meaning. Strategic goals should be stated with as much specificity as the current state of knowledge about the problem will allow.

Goals which violate this precept serve primarily to create confusion, raise unreasonable expectations and may eventually undermine the credibility of the system to do what it says it will do. A strategic goal should provide a clear guide to the search for ways to attack the problem.

Selecting Strategic Goals

The authority to select strategic goals is usually vested in persons other than the program developer. In most instances, goals are set by decision-makers in the planning agency, the supervisory board, or the executives of affected operating agencies.

If the strategic goals are to perform the functions described in the first section of this chapter, it is essential that they reflect the wishes and opinions of the persons who will be most closely involved in implementing the program. Consequently, the program developer should obtain a consensus on the strategic goals from these persons. In practical terms, this means that the program developer should begin to

work with the affected persons as early in the process as possible, helping them to recognize and define their needs and interests. If it is not immediately obvious who the persons are who will be affected by the program, the program developer should resolve to contact them as soon as their interest in the program is identified.

Everyone will not be equally committed to all of the strategic goals a program is trying to achieve. Individual strategic goals, agency policies and past experiences in working with other agencies or groups will determine how willing affected persons and agencies will be to "buy in" on the overall direction of the program. In some instances, the program developer may be forced to "sell" the program to those who will be affected by the program. This may mean that individual strategic goals will have to be shaped to encourage participation. A police department may not be particularly motivated to participate in a program with a strategic goal of increasing the number of persons who shop downtown. It might be more willing to participate if the program developer can demonstrate how they might be able to achieve their own agency goals by participating, i.e., increased cooperation from downtown merchants, or an improved public image. If the program developer has taken the time to examine the needs of the affected individuals and groups and is thoroughly versed in the problem the program will try to affect, the advantages and disadvantages of the program should

be readily apparent. This information and a willingness to work with these persons should make this aspect of program development much easier to carry out.

Flexibility in Strategic Goal Development

The program development process model lays out a sequence of activities of which strategic goal development is one part. The model implies that strategic goal development is a one-time-only event. In reality, this is seldom the way it works. At the beginning of a program development effort, everyone involved may have certain fixed ideas about what the program is trying to achieve. As the effort progresses, these ideas will invariably change. New information will become available, unanticipated events will occur, previously unseen limits will become apparent. In some instances it may become apparent that the basic ideas behind the program are incorrect or unworkable: the problem is more intractable than thought, the solutions selected cannot be adequately supported, the cooperation of some crucial person is suddenly withdrawn. These events may dictate the need to adjust, expand, or drop certain strategic goals. It is extremely unwise to begin a program development effort with vague or weakly supported strategic goals. It is equally unwise to insist on retaining goals that are no longer realistic or viable. Once it becomes clear that a strategic goal cannot be feasibly achieved or pursued, the goal loses its motivational value. The program

developer should be prepared to revise the strategic goals of the program throughout the process if conditions or circumstances require it. This is not to say that the strategic goals of the program should be perpetually "up for grabs" or that the program developer should not try to make the initial set of goals as concise as possible. It does mean that the developer and the other participants in the process should remain flexible and modest about the strategic goals they are trying to achieve.

APPENDIX: NOMINAL GROUP TECHNIQUE BACKGROUND

Background

An important tool covered in the Program Development Course as part of the discussion of both priority-setting and strategic goal development is the Nominal Group Technique. The following discussion outlines the major features of this technique andindicates how it could be conducted. For further information about this technique the following references are particularly useful:

- Delbecq, A. L., Van de Ven, A. H., and Gustafson, D. Group techniques for program planning. Glenview, Illinois: Scott, Foresman and Company, 1975.
- Huber, G. and Delbecq, A. L. Guidelines for combining the judgments of individual group members in decision conferences. Academy of Management Journal, 15, June, 1972.

In reading this discussion, keep in mind that the Nominal Group Technique can be applied at several points in the program development process--not only at the point where the important components of the problem are identified.

Nominal Group Technique

The Nominal Group Technique (NGT) is a structured group process which follows a prescribed sequence of steps to reach

a decision. The NGT is a valuable device for reaching decisions when:

- The decision-making situation involves very complex issues or problems, and
- The judgments, opinions, or attitudes of several persons must be collected, considered and reconciled.

The NGT has been used in a variety of settings in business, industry, education and government to:

- Identify the most important components of a problem
- Establish priorities and goals for organizations
- Identify and select possible strategies to solve problems

When used properly the NGT can produce high quality decisions as well as a high degree of agreement and satisfaction among the participants.

We are devoting space to a discussion of this technique because of several virtues this approach has over the others described in the previous chapter. First and foremost, the technique does not require that the person conducting the exercise be an expert on the issue in question. Thus, it is possible for a planner to use the ideas developed in the technique without the need to master the subject beforehand.

Second, the technique involves a minimum of preparation or attention to administrative details. Unlike a Delphi Technique or a survey the entire process can be completed at a single meeting within a reasonable amount of time (2-3 hours). Unlike a brainstorming session, the process does not require the person running the process to sort and sift the final product; the final product is a decision, for better or worse.

Finally, the technique can be used with persons with varying levels of education, verbal skills, personal expertise or viewpoints. The technique was originally designed to help community groups in low-income areas articulate their problems and demands in a manner that could be useful to planners and policy-makers. The technique works equally well--if managed correctly--with persons with a variety of backgrounds and even very different political backgrounds.

As described in this course, the NGT can be used for any number of decision-making situations. It can be used to set priorities, establish decision-making criteria, select from among a set of alternatives or to identify different ways of implementing or improving a program or goal.

The NGT Process. The NGT is carried out in small groups. The recommended number of persons to be included in the process is from 5 to 9. Research on group processes indicate that groups of less than 5 persons often lack the breadth of experience and ideas needed to made the process productive. However, groups of more than about 9 persons often tend to

bog down in factional disputes or the amount of record-keeping involved in the process. A technique to handle more than 9 persons will be discussed later in this text.

Preliminary Preparations. Persons running an NGT exercise should make the following preparations:

- Each member of the group should be provided with writing materials and a free area at which to work.
- The members of the group should be arranged so that they face each other and can clearly see the flip chart or blackboard where their responses will be recorded.
- The room in which the exercise is carried out should be relatively free of outside noise or distractions.
- Each member of the group should be given a sheet of paper on which the question to be considered is indicated at the top. The question can also be written at the top of the flip chart or blackboard where the group's responses are to be recorded.

The members of the NGT group focus on a single question, which has been selected beforehand by the persons running the meeting. There are six steps in the process:

1. Each member of the group works silently and independently for 5 minutes to generate a list of possible responses to the question.
2. The responses of the group are collected and recorded.
3. The group discusses and clarifies each of the responses.
4. A preliminary vote is taken on the responses.
5. The preliminary vote is discussed and, if necessary, the responses are further clarified.
6. A final vote is taken.

Each of these steps will be discussed in detail below.

When the group has been seated the leader of the exercise should make a brief opening statement which:

- Explains the specific purpose and objectives of the meeting,
- Briefly describes the steps of the process, and
- Emphasizes the importance of each member's full concentration and participation.

The leader then asks the group to read the question and, if necessary, will clarify its meaning.

Step 1. Silent Generation of Responses to the Question. After the question has been read and clarified the leader should instruct the group as follows:

- The members of the group will be given 5 minutes to generate as many responses to the question as possible.
- Each member should work silently and independently, listing their responses in short sentences or phrases on the worksheet they were given.
- The members should not focus on any one response too long. The purpose of the step is to identify as many different responses as possible. The responses need not be completed worked out to be listed.

The five-minute limit on the generation of ideas serves two purposes: it encourages members of the group to think and work quickly, and it keeps the number of responses to be considered by the group to a manageable size. Persons may object that the limit does not allow enough time for adequate reflection on the question. However, research on the NGT indicates that very little useful input is lost by limiting the amount of time for this step. People tend to produce their best ideas during the first few minutes of reflection. Ideas generated later tend to be more elaborate or specific versions of earlier ideas. These detailed responses can be better developed during later steps in the NGT process.

The purpose of having each person work silently and independently is to eliminate some of the pressure many persons feel when asked to "think on their feet" in a group. Moreover, when the group consists of persons with different positions and backgrounds, this step provides a safe and acceptable way for persons with less status and self-confidence to make their input. This is particularly important when the group consists of persons at different levels in the same organization.

The purpose of telling members to not focus on any one response too long is to avoid the premature elimination of potentially useful ideas. The purpose here is to identify a broad range of responses. Obviously, many of these "brainstorm" ideas will not hold up under closer scrutiny. At the same time, many innovative and creative ideas have been developed out of this type of "free association" thinking. One of the primary benefits of the NGT is that it can be used to develop unconventional responses that might otherwise not be considered.

The role of the leader in this step is to:

- Keep track of the time,
- Enforce the rule that persons work independently, and
- Encourage the group to use the time period creatively and efficiently.

The leader should answer questions about what a good response would be by indicating that there are no "correct" responses to the question. The leader should also avoid influencing the group by giving examples. Such examples often end up being given as responses by group members because they were "endorsed" by the leader. Finally, the leader should set an example by working silently on the question along with the group.

Step 2. Recording the Responses. When the time limit has elapsed the leader should ask the group to stop writing and give the group the following instructions:

- The responses will be recorded without comment on the flip-chart or blackboard.
- The responses will be collected one by one from each group member in a serial fashion.
- The members should avoid repeating the same response - if more than one member had the same idea the response should be recorded only once.
- New responses, stimulated by a response given by someone else may be added to their list at any time.

The purpose of recording the responses in front of the entire group is to allow all of the members to see what the group has produced. This can be a major payoff for the group

by itself--a sizeable list of optional responses generated in a relatively short time. The purpose of recording the responses without comment is to avoid premature discussions which would tend to increase or decrease the perceived value of any one response. A member whose response is criticized by the group before all of the others have given their respones may choose to "drop out" of the process or become overly defensive about his or her other ideas. In effect, the recording of the responses shifts the ownership of the responses from the individual member to the group as a whole.

The responses are recorded in a serial fashion. The first member provides the first response on his or her list. The leader records the response on the flipchart and then asks a second member to provide the first response on his or her list. The leader continues to go around the group, soliciting one response at a time until all responses have been collected. The leader should include his or her own responses with the other.

The purpose behind this procedure is to disassociate specific responses with specific individuals. This will reduce the tendency of some persons to dismiss the ideas of others based on personal feelings or individual status. The disassociation of responses with individuals is particularly important if the group is to consider the responses objectively during the next steps in the process.

The role of the leader in this step is to record the responses of the group members on the flipchart or blackboard.

The leader should avoid editing the responses and should record them as closely to the words of the member as possible. Overly long statements should be shortened or abbreviated if possible. However, the person providing the response should be satisfied with the way the response is expressed.

The leader should also avoid prejudging responses by suggesting that one response is the same as another response already listed, or that one response could be subsumed or combined with another. At this stage the leader should act as little more than a recorder of the group's ideas.

Each response should be numbered as it is recorded. In addition, room should be left along the right hand margin to record the votes to be taken by the group in subsequent steps.

Step 3. Discussing and Clarifying the Responses. After all of the responses have been recorded the leader should initiate a discussion of the responses. The discussion should focus on one response at a time, starting with the first response and proceeding through the entire list. The leader should begin the discussion by asking the group, "Does anyone have any comments or questions about this item?", or "Does everyone understand the ideas behind this response?"

The purpose of this discussion is to clarify the intent and logic behind each of the responses on the list. The person who provided the response is not obliged to explain the statement. However, the leader should encourage members of the group to ask questions or suggest explanations in order to clarify the meaning of the response.

Conflicts between members may arise at this point. This should not be discouraged so long as the disputes bring out real issues or facts related to a given item. However, the leader should not permit disputes to become personal feuds between two or more members, or allow the discussion to drag out too long. Once it becomes apparent that the issues surrounding a given response have been fully aired the discussion should move on to the next item.

If the number of items in the list is large, a certain amount of editing and collapsing may be permitted. However, the leader should be very careful not to allow this process to go too far or too fast. The group as a whole should agree that the revision is necessary and useful. In particular, the person who provided a response should agree that the change should be made. If the leader senses that the whole group may not see the need to collapse or delete an item it is preferable to leave the list as is. The consequences of having a member feel that his or her response was deleted arbitrarily can be serious, particularly if that person will be expected to accept or act on the group's final decision.

It may be preferable to set a time limit on the discussion of any one item. Although it is desirable to allow the group to pace itself in the discussion the natural tendency is for the group to discuss the first responses lower on the list. This should be avoided. Important issues may not be given adequate attention and some responses may not be completely understood by everyone.

The role of the leader in this step is to facilitate discussion, mediate disputes and keep the discussion focused on one response at a time. The leader should participate in the discussion with the others. However, the leader should be careful to not "steer" the group because of his or her dual role.

Step 4. Preliminary Vote. Once every item on the list has been discussed the leader should indicate that a preliminary vote will be taken. A number of voting procedures could be used in this step. The ranking procedure described here is merely a suggestion. The purpose of this step is to determine the degree of agreement or disagreement within the group based on the initial discussion.

In this procedure the group members are asked to individually rank the responses according to some priority criterion. The criterion might be the importance of the responses, the relative acceptability, desirability or practicality of the responses, or some other criterion related to the decision the group is to reach. The basis on which the group is to rank the responses should be explained and clearly understood before the vote is taken.

The first step in the procedure is to determine how many of the responses should be ranked. The group should not be required to rank the entire list because the intent here is to identify relatively intense differences or agreements within the group. By asking the group members to select only

the top 6 to 9 responses from a larger list the members are forced to focus on those responses about which they have the clearest and least ambivalent opinions.

As a rule of thumb the number of responses to be ranked should be about 40 percent of the total number of responses on the group's list up to a maximum of 9. For example, if the group developed a list of 15 responses the number of responses to be ranked should be about 6. If the list included 20 responses the number to be ranked should be about 8. The group should not be asked to rank more than 9 responses no matter how large the number of responses on the list. The reason for this is that most persons find it difficult to rank many more than 9 items at a time in a meaningful way. As the number of items to be ranked increases the mid-range items become increasingly difficult to assess and persons tend to make arbitrary decisions. This tends to decrease the value and validity of the process for both the person doing the ranking and anyone wishing to use or interpret the results.

When the number of items to be ranked has been determined the leader should give that number of 3x5 cards to each group member. Each member of the group should then select the top "N" number of responses from the list and write the numbers corresponding to those responses in the upper left hand corner of the cards--one number per card. This should be written in pencil in order to make it easier for the member to make a change.

After all the cards have been assigned a number the members should each copy the response statement corresponding to the number on the card. This serves two purposes: it forces the member to check the correct correspondence between the number and the response, and it "commits" the member to the response he or she selected.

When the members have completed copying their responses on their cards they should each array these cards before them, face up. From their array they should then select the lowest ranking response and assign that response the lowest numeric rank. The rank number should be written in the lower right hand corner of the card and underlined twice. The underlining is intended to distinguish the rank number from the response number when the card is interpreted. The members should then turn the card over and select the lowest ranking response from those remaining. This process is continued until all of the responses have been ranked.

When all of the group members have completed ranking their cards they should be passed forward to the leader. The leader should then shuffle the cards to preserve the anonymity of the balloting and begin tallying the votes on the sheet where the responses are listed.

There are several methods which could be used to tally the ballot. The simplest method is to merely write the rank numbers assigned to a response in the margin behind the response. Thus, if response number 3 was assigned a rank of "4" by a member a 4 is written after the response. Thus the group can

readily see how many times each response was ranked and the distribution of ranks it was assigned. (The format for tallying the first vote is shown on page 12.) With this method it is not necessary to compute an average score or any other summary score for the responses. The presentation of the raw tally is usually sufficient given the relatively small number of persons voting and responses to be voted on.

After the vote has been tallied the leader should take a few moments to allow the group to examine the vote results. The leader may wish to make a few notes on the vote relating to:

- Responses on which there appears to be a clear agreement (i.e., everyone gave the response a high ranking or no ranking at all).
- Responses which received only one or two extreme rankings.
- Responses in which the assigned rankings were polarized (i.e., some high ranks and some low ranks).

These notes can then form the basis for the discussion which follows in the next step.

The role of the leader in this step is to facilitate the voting--clarifying or demonstrating the process for the members--and to record the vote. The leader should vote along with the others. During the tallying the leader may wish to

recruit one of the members of the group to assist in reading off the votes or recording the vote on the work sheet.

Step 5. Discussion of the Vote. After the vote has been tallied and the group members have had a chance to examine the results the leader should initiate a discussion, again aimed at clarifying the responses and the vote itself. The discussion should focus on one response at a time, particularly those items which the group as a whole selected as being among the more important. This may also be the time to draw out further explanations on specific responses. Individuals should not be asked to reveal how they voted or to justify their vote to the group.

The role of the leader, as in the first discussion, is to facilitate the discussion, mediate disputes and keep the discussion focused on the responses.

Step 6. The Final Vote. The first vote may have indicated that the group is already in agreement on the responses. In this instance the NGT process can be stopped after the first vote. However, in most instances a discussion and a second vote are necessary to refine the group's decision. As in the first vote, any number of voting procedures could be used, including the same procedure outlined for the first vote. In this example we will outline a second technique in which numeric weights are assigned to specific responses.

For the second vote the group members are again asked to each select a certain number of responses from the overall

list. These responses can be the same as those selected in the first vote or they can be an entirely new set. At this point every response should still be considered a potential candidate. In his instructions to the group the leader should emphasize that no one should feel compelled to change their vote or, conversely, to adhere to their original vote.

The members should each be given a form such as the one shown on the following page. In the first column the group should again list the numbers of the response items they selected. In the second column they should then write in the corresponding response statements opposite the number. Finally, the group members should then rate each response on the scale from 1 to 10 in which a "1" indicates lesser importance and a "10" greater importance. The members may assign the same weight to more than one response if they believe two or more items are of equal importance.

When all of the members have completed their voting the leader should collect the forms and compute the average and total scores for each response as well as the number of persons assigning a rank. After the scores have been computed the leader should announce the results and indicate what the group's decision is.

At this point, unless there is a need for further discussion, the leader should indicate that the NGT process is completed.

NGT: TALLYING THE PRELIMINARY VOTE

(ITEM #)	(STATEMENT)	(TALLY)
1	_____	1, 1, 2, 4 *
2	_____	1, 2
3	_____	1, 2, 2, 2
4	_____	3, 4
5	_____	3, 3, 3, 3, 4
6	_____	*
7	_____	1*
8	_____	*
9	_____	*
10	_____	4, 4

* Discussion Points

NGT for Groups of More Than 9 Persons

A technique has been developed for handling groups of more than 9 persons in the NGT process without distorting the results. In this approach the larger group is broken up into two or more groups of between 5 to 9 persons. Each group is assigned a leader who leads them through the first 4 steps in the process (i.e., through the first vote). After the vote has been taken the groups reconvene as a whole while the group leaders consolidate the individual group responses.

Consolidating the responses and the votes from two or more groups consists of:

- Compiling a single master list of all responses from all the groups,
- Collapsing and combining response items where appropriate,
- Computing overall group scores on the items.

In those instances where the different groups generated essentially similar resonse items the leaders may be able to combine the two or more into a single item. When this is done the rankings or scores of the groups on the combined responses can also be combined. However, the leaders should take care not to eliminate responses or arbitrarily combine items not clearly the same in intent. This is often a matter of judgment and leaders should tend to err on the side of not combining responses if any doubt exists. Any combining

or collapsing of responses should be clearly explained to the group.

When all changes in responses and the vote have been explained a leader should facilitate a general discussion as described in Step 5. Following the discussion the group then carries out a final vote as described in Step 6.

Writing the NGT Question. The most important preliminary decision for persons conducting an NGT exercise is the selection and drafting of the question the group is to address. The NGT is a relatively powerful decision-making tool. Persons who participate in an NGT exercise very often become highly involved in the process and exert a significant level of personal effort. Because of this, participants may become highly committed to the results of the process and demand that those results be put to direct and immediate use. Thus, before persons running an NGT ask a group to make this level of effort it is important that they have a clear view of both what is to be accomplished through the exercise, and how the results of the exercise will be used.

There are four steps in selecting and drafting the NGT question:

1. The objectives of the NGT meeting should be clearly specified.
2. Examples of the kinds of responses to be generated should be drafted.

3. Alternative question statements thought to elicit the desired kinds of responses should be drafted.
4. Each of the alternative question statements should be tested to determine which produce the desired kinds of responses.

Deciding on the objectives of the NGT exercise is the most important of the four steps. The NGT is a highly adaptable tool. However, there are certain kinds of decisions for which it is more useful than others. In general, the NGT is most useful when:

- Only one decision is to be made by the group,
- The options available to the group are relatively open.

The NGT is most valuable when only a single decision must be reached. Because of the nature of the process it is difficult for a group to focus on more than one decision at a time. For example, it would be inappropriate to conduct an NGT exercise to decide which components of a complex problem should be addressed in a program and what the strategy to address those components should be. Clearly, there are several separate decisions to be reached here, each of which would require considerable thought and discussion. In this instance it would be preferable to conduct several separate NGT meetings--the first to decide on the components of the problem to

be addressed, and the subsequent meetings to decide on strategies.

The NGT is most valuable when the options available to the group are relatively open. A decision which has been reduced to a simple yes-no choice, or one in which the options have already been specified, is not particularly suitable for the NGT approach. For example, a decision about which of two programs to fund would not be appropriate for an NGT exercise. The value of the NGT is that it allows the group to generate and consider a range of options, some of which may not have been even recognized beforehand.

The second step, the drafting of the kinds of responses desired from the group, is critical in terms of the ultimate use of the NGT results. As this stage the persons conducting the NGT must consider how the results will be used and thus, what kinds of results would be most useful. This does not mean that the persons running the NGT should predetermine the content of the responses from the group. It means that the level of specificity and the scope of the responses should be carefully considered. For example, if a group of decision-makers are led through an NGT exercise to determine what the general strategy of a program will be, the persons running the NGT might be concerned that the responses selected by the group will be too specific. Similarly, if the responses generated by the group are too broad and general the persons running the NGT may find that they cannot use the decision in a meaningful way.

The third step is to draft a set of possible NGT questions that are intended to elicit the kinds of responses desired. Wherever possible, the question should be a single, relatively simple sentence. The longer and more involved the question the greater will be the group's difficulty in focusing on the issues. A second consideration in drafting the question is the background of the persons in the group. If the members of the group share a common background it may be possible to use more technical or specialized language. However, if the group is made up of persons with different backgrounds or with different levels of expertise it is necessary to draft the questions in more generic and common language.

The final step, pre-testing the questions, should be carried out in order to determine whether the questions will actually generate the kinds of responses desired and which of the questions appear to produce the most workable responses. The pre-testing should be carried out with persons not involved in the drafting of the questions. In addition, persons who might be included in the actual NGT exercise should not be used during the pre-testing stage.

Who Should Participate in the NGT Exercise? The selection of persons to participate in an NGT exercise should be guided by the overall objectives of the exercise. A major criteria for the selection is that the persons have a definite stake in the issue being discussed. For example, in program

development persons who might be involved in the implementation of a program, or who are likely to be directly affected by the program are suitable candidates for the group. It is also desirable to include persons with diverse backgrounds and areas of expertise. The makeup of the group will play a large part in determining the outcome of the NGT process, and the greater the diversity within the group the broader will be the range of issues and responses.

Summary. The NGT is a useful and relatively powerful decision-making device. When used properly it can generate a high level of agreement and satisfaction among participating decision-makers. In addition, the process can produce decisions that are both creative and well thought out in a relatively short period of time.

As a caveat, persons running an NGT exercise should be aware of the limitations and potential dangers of the approach. We have attempted to identify some of the limitations in this discussion. However, the greatest danger in using the technique is that it may raise unrealistic expectations among persons participating in the process. Unless the persons running the technique have the skill to follow through with the decisions made in the group, the counter reaction may be very serious. For this reason persons using the technique should be very clear on how the results of the technique can and will be used and should convey that understanding to the group before the exercise begins.

In this chapter we discussed the development of strategic goals in program development. We discussed the purposes of strategic goal development, the distinction between goals and objectives and the different levels of goals in criminal justice planning. We also discussed the importance of the strategic goal statement as the documented end-points of the program and the various sources that can be used to identify possible strategic goals--including the problem model. Finally, we identified some of the requirements for good strategic goal development: substantive knowledge, specificity, sensitivity to political and organizational factors and a flexible attitude toward the goals that are developed. The concluding discussion of the Nominal Group Technique focused on both the process and uses of a valuable decision-making tool, including the inherent limitations of the technique itself.

In the next chapter we begin the process of turning the goals of the program into a concrete action strategy. Goal development, although not a single event but an on-going process, represents the last preliminary step in the overall program development process. From this point on we will speak more about the solutions and less about the problems we are addressing in the program. However, in these first steps we have laid the conceptual foundation for the program. How well that foundation has been laid will very largely determine how successful we are in all subsequent steps.

Chapter IV
Developing the Logic of Different Program Strategies

TEXT

The Concept of Programs in Criminal Justice

Goals, both normative and strategic, are policy statements about what should and can be done about the problems identified. Programs are the means by which those goals are achieved. Stated simply, programs are planned responses to specific problems for purposes of attaining some desired end. Programs are courses of action anchored between problems and goals. As such, programs really are change processes because they are intended to bring about change--overcome problems and achieve goals.

There are many different kinds of social programs because society has many different kinds of problems. But even with the vast range of possibilities programs share some common characteristics.

For one, all programs are goal oriented. A program designed to attain a goal of increased citizen participation in crime prevention would be quite different from one designed to achieve a goal of improved police efficiency, but both are aimed at goals.

A second characteristic shared by programs is that they build upon ongoing activities. The existing criminal justice system is a reality, consisting of a vast array of people, organizations, facilities, theories, operations, and budgets. Any "new" program is unlikely to be so innovative or so revolutionary that it will be implemented independently of activities and resources already in place.

A third common characteristic is that there always are optional approaches which can be adopted. Any program can be implemented by alternative strategies; there never is just one approach for achieving any strategic goal. If a program is needed to increase the professional knowledge of corrections executives, the alternative strategies might be required university courses, management training seminars, on-the-job training, or specialized work assignments in particular areas of corrections. Some strategy may be cheapest to implement, or quickest, or easiest, or most likely to be accepted by political powers, but there will always be alternatives.

Another shared program characteristic is that they ultimately are someone's best estimates of what will work. Programs are developed on the basis of reasoned expectations of what will succeed. Some of a program developer's reasoning is based on criminal justice experience; other reasoning derives from knowledge of criminal justice programs elsewhere, the printed literature, and the prevailing political realities.

A final characteristic which ought to be shared by criminal justice programs is that they represent a systematic approach to solving a problem. Programs, as they are defined in this course, are not one-shot responses to a single aspect of a multi-faceted problem. As we noted in the text of Module I, the driving force behind program development is the axiom that criminal justice problems have complex causes and demand intervention strategies which reflect this complexity.

A program is the sum of a coordinated set of strategies for attacking a defined criminal justice problem. Many different projects and other kinds of activities may be conducted concurrently or sequentially by different agencies in different locations, but these are all complementary parts of the program.

The Purpose of Alternative Strategies

The fact that alternative program strategies are available for realizing a desired end has profound implications for program development and merits more detailed consideration.

Most program developers work under pressure, with many demands placed upon their time and talents. It is tempting and often expedient to plan programs solely on what has been tried elsewhere, or what is currently in fashion. This type of "knee jerk" program development characterizes much of what is done but the results are seldom effective.

Alternative program strategies provide a basis for comparison. Because the relative strengths of different

strategies can be assessed, it increases the likelihood that final selection decisions will be based on more complete information than if there were no alternatives. It is this public examination of options, rather than the pro forma approval of a single preselected program strategy, that distinguishes recommended from typical practice.

Information Needs in Program Development

Information is a basic and continuous need in program development. It is a particular need at the stage in the process where the program developer is beginning to think about alternative ways of attacking a problem. Although a program developer may know a great deal about the problem, and may have several ideas about how the problem could be approached, a brief but careful survey of available knowledge can materially improve the quality of the choices he or she must make. Such a search can:

- Suggest approaches not previously considered
- Identify particular problems or limitations associated with various approaches
- Identify or clarify the costs or complexities of certain approaches
- Provide estimates of success or failure and identify approaches that should not be attempted.

A brief search for information may also stimulate completely new ways of thinking about a problem and result in truly innovative approaches to its solution.

Of course, the search will not relieve the developer of the task of working through the logic and details of his or her own program. It may, however, guide that work by pointing out where others have succeeded and failed, and why.

Planning the Search

The volume of information potentially available to a program developer, and the vast differences in the quality of that information, counsels the need for a plan to conduct the search. This plan should include the following ingredients:

- A list of the information to be gathered, i.e., the questions that should be answered
- A list of information sources
- A framework for collecting, organizing and assessing the information.

Under this latter point, the developer should provide for an assessment of the information as it is gathered. The quality of information available in the system varies from the very good to the totally useless. The developer should be wary of making use of information that may be flawed, inaccurate, or technically suspect. For this reason a brief assessment of the materials that are gathered is a prudent step in the plan.

Identifying Information Needs

The most obvious place to begin identifying the kinds of information needed are the strategic goal statements--the statements that specify what the program is intended to accomplish. With this information in hand the developer can begin formulating questions to be researched.

- Has anyone ever tried to address this problem before? Few problems in criminal justice are so unique that someone, somewhere has not taken a hand to resolve them. So the answer to this question will usually be "yes" and the real question is, who are they and where are they located?
- What have previous programs or projects tried to accomplish? The developer is looking for examples of efforts that had goals similar to the immediate program. However, this may not always be obvious at first glance. As a general rule similarity of goals may be less important than that the effort dealt with a similar problem.
- How did these other efforts try to reach their goal? The developer is looking for details: specific activities, schedules, timing of activities, organizational arrangements. In some cases who was involved in the effort--specific agencies or individuals--may shed light on how the program was structured.
- How much did it cost? Costs of programs can be deceptive, particularly if the scale of the effort was smaller or larger than the one envisioned. Other factors such as when it was done, and where may also distort cost figures. Nevertheless, in the absence of other information these cost

figures can provide some gross estimates of how economical an approach may be.

- How long did it take? Some approaches can produce results very quickly. Others may require several years before any estimate of impact can be made. These facts can be integrated into the planning of the program.
- What problems were encountered? Negative experiences are often more valuable than successes. The developer should look for recurrent problems or problems that seem to be endemic in the approach. Idiosyncratic problems (personalities; chance accidents) are less useful. It is also valuable to look for particularly good solutions to problems, if they exist.
- What was accomplished? Success may not be measured only in terms of meeting objectives or goals. Also look for partial successes. If one component of the program or project worked well, despite the general failure of the overall effort, the experience may be valuable. However, if a certain approach shows a consisntently high failure rate it should be eliminated from consideration.

Assessing Information

Not all of the information in the possession of the program developer will be of equal quality or use. Consequently, the developer should be prepared to quickly sift out that information that is most valuable, and set the rest aside. For this the developer needs a framework into which information can be fitted, and a process to screen out unneeded or inaccurate information.

The framework will be provided by the different alternatives as they are identified. It is expected that as the search proceeds certain alternatives will become apparent. It is also expected that the search will run parallel with the development of the various strategy logics--the topic of the next section of this module. The congruence between these two processes will become more apparent in the section to follow. For the moment it is necessary only to point out that need for specific kinds of information will evolve as the strategies themselves evolve. In the beginning the need will be broad and relatively undifferentiated--the developer is looking for broad options rather than details. As the number of options narrows the need will be more clearly defined and more detailed. Finally, as the elements of each strategy become apparent the information needs will focus more and more on specific topics. Thus, the development process itself should provide the framework into which information can be fitted.

Assessing the quality and usefulness of the information should be an ongoing part of the search effort. The criteria for assessing the information will depend on its nature and source. Quantitative data, drawn from research and evaluation reports, computer-based data systems or other technical sources, should be evaluated for technical and conceptual adequacy; the criteria is laid out in the discussion in Chapter II. To review briefly, technical adequacy refers to the suitability of the methodology used in collecting and analyzing data. Conceptual adequacy refers to how well the information presented describes and explains the findings of the analysis.

Qualitative-information, drawn from individuals in a less structured or formalized manner must be assessed with slightly different criteria. Among the sources that fall in this category are:

- The advice or reflection of persons who have worked on programs or projects
- The attitudes of criminal justice practitioners
- The recommendations of experts

For example, in the course of an information search the developer may contact the director of a project that represents an approach to the problem in which the developer is interested. How can the developer make the best use of this information source? There are several possible techniques.

- The developer should have a fixed set of questions to be asked. The best guarantee

that the information provded will be useful is that the developer knows what he needs before he contacts the source. The list of questions outlined earlier in this discussion is a good place to start formulating questions to be asked to prospective sources.

- The developer should focus on facts rather than opinions. Broadly worded questions such as, "How successful was your project?" leaves too much room for subjective opinion. Whenever a person provides an undifferentiated opinion about a topic the developer should press for concrete evidence or examples that support the opinion.
- The developer should depersonalize the discussion. Persons who have invested time and effort into a program or project are likely to have strong opinions about the undertaking. These opinions may bias the responses given--the source may be overly positive or overly negative about the effort. Wherever possible, the developer should steer around topics where the source's ego may be directly involved. Rather, the developer should inquire about topics where the source is knowledgeable but is able to make an objective appraisal. If this is not always possible the developer should maximize the use of factual information or focus on specific incidents or events.

- The developer should rely on multiple sources. Whenever possible the developer should contact several persons when investigating a particular program or project. When doing this the developer should not reveal what others have said and should be careful to ask comparable or identical questions to all sources.
- The developer should focus on common rather than unique incidents. Programs and projects often succeed or fail because of completely random or idiosyncratic events. The developer should focus attention on factors or problems which are similar to those found in the developer's own situation. If a project succeeded only because of the personality of the project director the developer cannot assume a similar project would succeed in his or her own jurisdiction with a different director.

When assessing qualitative information the essential criterion is that based on facts wherever possible. Alternatively, when information is strictly a matter of opinion it should be clearly identified as such and thus given an appropriate level of importance.

CONTINUED

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Organizing the Search

Information will be needed throughout the entire program development process; not only at the stage where alternative strategies are being considered and developed. Moreover, the volume of information may be quite substantial and in some cases quite technical in nature. Unless the developer has a considerable amount of time to devote to the collection and assessment of information, it is strongly advised that a permanent team of people be organized to carry out the process. Indeed, a team approach to program development is a useful idea for all phases of the process.

Under ideal circumstances the development team should consist of representatives of several disciplines and interests. It should include persons with planning, analytic and substantive expertise. It should also include representatives of operating agencies that would be directly affected by the program. Finally, whenever possible, the team should include decision makers both in and outside the planning agency.

There are numerous advantages to a team such as this. First, the team approach allows the program developer to reduce the amount of time devoted to collecting the information. A team with a membership reflecting a variety of backgrounds has the added advantage of being able to assess the information more objectively and efficiently. The developer need not rely on only his or her own experience and knowledge, but can tap the multiple perspectives and

skills of the team. This can be particularly valuable when the information relates to highly technical or specialized matters.

Second, this approach simplifies the process of communicating information to decision makers and other interested persons. The program developer must maintain open channels of communication with the persons who will make the final decisions and those who will be most directly affected by the program. A team approach provides communications channels to these persons through the team membership.

Third, a team made up of several interests can bridge the gap between the planning agency and the affected operating agencies. It reduces the tendency on the part of operating agency practitioners to dismiss planning agency activities as being more bureaucratic papershuffling. The direct participation of operating agency people on the team can reassure others that the final product will be realistic to their needs and interests. In a real sense, having varied interests on the team will be a guarantee that this will, in fact, be accomplished.

In the case of decision makers, the presence of one or more of their number of the development team will reduce the possibility that plans and recommendations will be ignored or overruled. Moreover, it will reduce or eliminate the persistent problem of decision makers being asked to decide on issues without adequately understanding the subject they are deciding.

Finally, a team approach can create advocates for the program outside the planning agency. Having persons in the system who understand and agree with the thrust of the program can help overcome resistence and difficulties throughout the development process and the subsequent implementation phase.

Thus, from the standpoint of both technical efficiency and political practicality, the team approach can be an extremely valuable device for the program developer.

Developing the Program Rationale

The culmination of the many activities that go into selecting a strategy--the creative thinking, the consultation with other criminal justice professionals, the review of documents describing other programs, the integration of disparate information--is called a strategy rationale. A strategy rationale lays out the basic logic of the strategy, depicts the essential causal linkages implicit in the logic, based on the empirical evidence supporting the causal linkages. The strategy rationale ultimately becomes part of the decision package reviewed by decision-makers when they are asked to decide on the one or more strategies to pursue further.

Any given program can be viewed as a statement of logic. The logic is expressed in the form of a causal argument that links the program to the strategic goal, and ultimately, to the normative goal. The nature of the argument is: If X, then Y; if this happens, then that will result; if twice the current number of police cars patrol the streets between 8

and 12 p.m., then the number of burglaries will decrease. The strategy rationale is the document which articulates this type of logic. It describes the logic of the strategy believed capable of bringing about change and it provides the supporting arguments and reasoning for the strategy.

The strategy rationale is the product of a complex creative process which surfaces alternative strategies, ensures they are considered as possible courses of action, eliminates the strategies that will not be effective, and brings the remaining viable strategies to the attention of decision-makers. The strategy rationale "fits" into this process at the point where decision-makers review the supporting evidence for the alternative strategies and select the most suitable one(s) for further development. Exactly where this point will vary from place to place. But wherever this point occurs, the strategy rationale performs the same basic functions: (1) to help select out at an early stage those strategies deemed unworthy to pursue any further and (2) to identify those strategies which merit the investment of additional resources to plan and develop more completely.

The steps of this creative process have no well-defined starting and ending points. It is an iterative process with continuous recycling of ideas to new inputs and refinement of plans to accommodate unexpected obstacles. While it is not feasible to cover the detailed dynamics of the process here, we will outline the following major steps:

- identify potential strategies
- identify the logical assumptions behind each strategy
- test the reasonableness of these assumptions
- prepare the final strategy rationale.

Identifying Potential Strategies

The beginning point of program development is an agreed-upon problem and the strategic goal. Thus, the first step is to identify the alternative strategies that might be used to attain the goal, and then lay out the logic of each in an abstract way. The purpose of this step is to identify as many different approaches that appear to lead to the same goal as possible. The concern here is not with details about specific agencies, personalities, or political climate, but rather with surfacing a variety of possible strategies to consider.

A strategy represents a general approach to the attainment of a strategic goal. For example a problem such as commercial robbery can be attacked through a strategy of "deterrence"--the courts can make robbery so potentially costly to criminals that they will be reluctant co commit the crime. The same problem can also be addressed through "target hardening." Commercial establishments can be redesigned so as to make it more difficult for a robber to succeed, e.g., putting armed guards in stores, erecting barriers between the proprietor

and customers, installing alarm systems. Finally, the problem can be addressed by removing or affecting the causes of the problem. For example, unemployed youths who commit robberies can be found employment or some other diversion, their families can be counseled or provided with additional assistance. Each of these approaches represent a different strategy for reaching the goal of reducing commercial robbery.

Potential strategies can be identified through the information search described earlier. They can also emerge out of a close examination of the Problem Statement. The relationships identified in the assessment of the problem statement provide valuable clues to possible strategies. For example, if the Problem Statement suggests that a presumed cause of crimes against the elderly is the fact that they are often isolated from others who might come to their aid, one possible strategy might be to increase the social contacts of elderly persons. Thus, the relationships identified in the Problem Statement are a valuable source of ideas concerning potential strategies.

A second source of ideas is the program developer or the program development team. Many of the most creative ideas for solving problems come out of "brainstroming" sessions in which ideas are bounced around and new and sometimes outrageous suggestions are proposed. In some instances the "germ" of a general strategy will be suggested in a specific example. For example, when thinking about ways of reducing crimes against

the elderly the idea of hiring local youths to escort elderly persons when they shop may be suggested. This is clearly too specific to be a "strategy" although it may eventually become a possible way of implementing a strategy. However, it contains the germ of a strategy--the idea of providing elderly persons with additional social contacts as a preventive strategy for crime. Thus, by using specific examples and extracting the essential or general approach they reflect, the program developer can derive strategies which can be proposed to meet strategic goals.

Testing the Logic of Strategies

The value of a strategy may not always be apparent to the program developer when it is first proposed. There is a natural tendency to "leap" at an idea because it makes sense at an intuitive level. For example, it makes sense that if police are writing poor reports, and thus making it more difficult for prosecutors to convict suspected criminals, to propose a strategy of additional training for police officers on report writing. Similarly, a logical response to the problem of overcrowding in prisons is to build more prisons. However, before a strategy is adopted it is probably worthwhile to examine the logic of the strategy in a more concise manner. That is, before working out the details of the strategy the program developer should attempt to determine whether the strategy can work and what assumptions must be met for the strategy to work.

A strategy is based on a set of assumptions: about how people behave, about how organizations operate and about the factors and relationships that create certain conditions and events. These assumptions may be explicit or implicit. They may be based on hard evidence or someone's preconceived notions. In some instances they may be based on a person's ideological beliefs (e.g., crime is a product of economic conditions) or on personal experiences. In general, it is very dangerous to allow these assumptions to go unexamined. A sweeping assumption may ignore important facts which contradict the rule or may ignore the factors which may limit the generality of the assumption. In short, before proposing a strategy, the program developer should identify and test the assumptions that lie within the strategy.

Let us examine a strategy and describe how the assumptions it makes can be identified and tested. The strategy is a common one for many types of crime problems--increasing the severity of the penalty for a particular crime. The basic logic behind this strategy is: if the penalty for a crime is severe enough criminals will be less likely to commit that crime. What assumptions lie behind this strategy? One basic assumption is that criminals perform a rational calculation of risks before they decide to commit a crime. Is this a reasonable assumption? For certain types of crimes this may be reasonable. Crimes involving a degree of premeditation probably would be affected by such a strategy. However, crimes that are committed in a heat of passion or by persons with

impulsive or reckless personalities are less likely to be affected. Thus we have identified one important limiting factor in the logic of the strategy. Are there any others? The strategy assumes that criminals are aware of the penalties involved in different kinds of crimes. Is this a reasonable assumption. Again, the assumption is problematic. Some criminals, but not all, will take the trouble to learn what the risks of committing a crime are, but there are doubtlessly many persons who would be totally unaffected by a change in criminal penalties simply because they are unaware of the change. Thus, we have identified a second limiting factor--the degree to which the change in criminal penalties is publicized among persons likely to commit the crime.

There are numerous other assumptions we could identify in this strategy. The strategy assumes that criminals weigh the risks of committing a crime in terms of possible penalties as opposed to the more immediate risk of being caught by the police. It assumes that the courts will actually impose the penalties and that juries will convict criminals knowing that the penalty is so severe. It also assumes that enough criminals will be affected by the change to make a noticeable difference in the crime rate. All of these assumptions must be met if the strategy is to be effective.

For the program developer the testing of these assumptions should be the first step in weeding out illogical or ineffective strategies. For those strategies that are developed

further, this testing of the strategies' logic is an important step in identifying the critical elements of the program. By identifying the assumptions that must be fulfilled in order for the strategy to work the program developer also identifies the basic requirements of the strategy. For example, if a change in the penalty for a certain crime is proposed, the program developer now knows that the change must be well advertised, that judges and juries must be convinced to impose the penalties and that the penalty itself must be credible.

Preparing the Strategy Rationale

Once the logic of the strategy has been tested the next step is to prepare a strategy rationale. The rationale is a graphic representation of the logic of the strategy and should incorporate the assumptions that lie behind the strategy. For example, the rationale for the strategy of providing a more severe penalty for a crime might look like this.

- Criminals commit crime because of lack of severe penalty
- Severe penalty is imposed (Strategy)
- Potential criminals know about penalty
- Potential criminals weigh potential risk of committing crime
- Potential criminals perceive risk posed by penalty as being more severe than is acceptable to them

- Potential criminals do not commit crime
- Number of crimes decreases (Strategic Goal)

The rationale lays out in logical sequence the assumed steps or links through which the strategy is intended to reach the strategic goal. By examining each assumption and each linkage with a critical eye, and by drawing on common sense, past experience or empirical evidence, the program developer can make a rational assessment of the logic of the strategy.

Note that this assessment does not include a consideration of how easy it would be to implement the strategy, how much it might cost, or other "practical" considerations. These decisions can come later. At this stage we are concerned primarily with the essential logic of the strategy--not whether the strategy could be implemented, but whether it makes sense to even try.

Summary

In this chapter we began the long process of developing and refining strategies toaddress the problem, building on our understanding of the problem that we developed earlier. We examined in a broader context the nature of programs in criminal justice and the need for developing alternative strategies to address problems. We discussed the need for information in program development, how to look for information; what to look for and how to assess it when we obtain it. In particular we emphasized the usefulness of a team approach

to collecting information and to program development in general. Finally we discussed the development and the assessment of the program rationale. In this context we discussed the creative nature of strategy development, but emphasized the need for a critical testing of the logic and assumptions in a strategy.

In the next chapter we discuss the next step in developing a program--translating an abstract strategy into a set of specific actions. We have turned another corner in the process. We have focused attention on the second major source of program success or failure; the identification and selection of a strategy that is appropriate to our understanding of the problem. What remains to us is assuring that the strategy can and will be implemented as we intend.

APPENDIX: SOURCES OF INFORMATION

Over the last ten years the volume of information in criminal justice has increased significantly. Information on a broad variety of topics is now available through

- Evaluation reports
- Research literature
- Model or "exemplary" program plans and other proscriptive literature
- Standards promulgated by federal, state, local and professional standard-setting bodies.

In addition, human resources have become more readily available in the form of subject matter experts, management and systems analysts and technical assistance vendors. Finally, the planning system itself provides access to a cadre of experienced planners and analysts working in planning and operating agencies.

Despite the availability of this wealth of information much, and perhaps most, program planning is carried out as if each problem was completely new and unique. Part of the reason for this may be that program developers are unaware of the resources available to them. A second barrier may be the lack of time and money devoted to developing rather than implementing program activities. A third barrier may be an

uncertainty about how to use the resources; where they are located, what to look for, how to use the information at hand. In the discussion to follow we will briefly examine each source and provide some broad suggestions on the best way to use it.

Research and evaluation reports. A particularly under-utilized source of information is the growing body of literature in research and evaluation. For the program developer, this information can provide relevant indications of not only what has been done in any given field, but how successful these past efforts have been. The evaluation literature should provide answers to virtually every question on the developer's list.

- Who has tried to address a problem? and where?
- What have they tried to accomplish?
- Internal activities--schedules, timing-organization, participation, costs and duration
- Problems and issues
- Rates of success

The research literature can provide many of the same details as well as indications of alternative theories or hypotheses about the problem in question. For example, research on the relationship between environmental factors (e.g., building design, landscaping) on the incidence of school vandalism might suggest an entirely new approach to that problem. Similarly, review of the research on the general theory of

deterrence might provide additional insights into a variety of crime-related problems.

There are several sources of research and evaluation literature available to the program developer:

- The National Criminal Justice Reference Service provides services at no cost to persons wishing to survey a particular literature. The Service maintains a computerized search system which can produce a comprehensive bibliography, with a brief summary on each source on a variety of specific topics. In addition the Service will loan copies of original materials on request or provide microfiche copies that can be kept. The address and telephone number of the Service is listed in the appendix.
- The National Institute of Justice supports and publishes evaluation and research efforts on a variety of topics each year. Although these documents often deal with national level efforts and problems the quality of the materials is often superior to that produced for individual, small-scale programs and projects. This information can be obtained directly from LEAA or the U.S. Government Printing Office. In addition NIT also publishes and updates a directory of criminal justice information sources, a directory of

criminal justice associations, and directory of newsletters published in criminal justice.

- Other federal agencies can also provide access to basic research and evaluation information. Virtually every agency, both in and outside the criminal justice area, maintain public information or clearinghouse services. Among the more relevant sources are:
  - The National Institute for Juvenile Justice and Delinquency Prevention;
  - The National Institute of Corrections
  - The Federal Bureau of Prisons
  - The National Institute of Drug Abuse
- State Planning Agencies normally maintain files of evaluation reports conducted in or for the agency. They are also likely to maintain copies of recent publications, journals and major evaluation studies.
- TARC's (Technical Assistance and Research Centers) provide both human and written resources for planners, analysts, evaluators and program developers.
- Professional associations and public interest organizations produce a considerable volume of research and evaluations related topics. Organizations such as the American Bar Association, the Police Foundation, the International

Association of Chiefs of Police, National Association of District Attorneys, American Correctional Association, National Council on Crime and Delinquency and numerous others conduct basic research and evaluation on all areas of criminal justice.

- Colleges and universities, particularly those with departments of criminology or criminal justice are likely to maintain libraries of literature on all phases of the system.

The amount of information available from these sources on any given topic will vary, as will the quality and value. However, a broad-based literature search--i.e., not relying on only one or two major sources--is more likely to identify those sources that will be of the greatest value.

Model programs. The increased availability of basic research and evaluation findings, and the increased use of action programs as opportunities employing new and innovative methods has led to the development of several model or prescriptive program designs. NIJ, for example, through its Exemplary Project program, has made a conscious effort to document examples of particularly successful methods or strategies. Each report contains:

- The history of the project/program
- How the project/program works
- Organization and administration

- Facilities, plant, and equipment
- Costs and budget
- Effectiveness
- A guide to replicating the effort elsewhere

LEAA also conducts evaluations and research on alternative program models aiming at the development of generic approaches to major problems. LEAA has published numerous monographs and prescriptive packages which provide models and assessments of alternative strategies.

Similar efforts have been undertaken by professional associations, and in some instances, by individual planning agencies.

Standards. An additional source of information and guidance on alternative strategies can be found in the standards promulgated by various organizations and authorities in criminal justice. Since 1970 virtually every aspect of criminal justice has been examined by one standard-setting body or another. The National Advisory Commission on Criminal Justice Standards and Goals developed system-wide standards in 1973. A similar effort was undertaken by the American Bar Association. In addition, virtually every major professional association in criminal justice has developed a set of standards for its members. Finally, since 1973 large numbers of state, local and regional planning agencies have developed standards and goals to guide funding and other policy decisions.

The standards adopted by these groups and organizations can provide program developers with a useful guide to the

best thinking on the way criminal justice agencies should operate. In this way they can also guide the developer in the kinds of strategies that might be undertaken.

Human resources. The literature will be the primary source of information for most program development efforts. However, the literature should be supplemented by a careful use of the numerous human resources available to the developer. This approach may be particularly useful when the developer has a relatively short time to identify and select a program strategy. The developer should consider the following human resources in the search:

- Subject matter experts - As criminal justice planning has grown it has been paralleled by a similar growth in outside consultants and specialized experts. These experts may be readily contacted through universities, private consulting firms, non-profit research organizations and professional associations. In some instances expert consultants may be retained under standing technical assistance contracts with LEAA or other organizations supported by LEAA. Such experts are usually knowledgeable in a variety of fields and may be able to reduce the amount of time needed for the literature search. The primary drawback to the use of consultants other than those already retained under a technical assistance contract is that they are expensive to

utilize for any length of time. In addition, as in all other fields the quality of the services provided by outside consultants may vary greatly among firms and individuals.

- Planning agency personnel - A source of information that is seldom used to its fullest potential is the experience and expertise of people in other planning agencies. In addition to having a working knowledge of the system they have the advantage of being able to understand the needs of the program developer on the basis of their own experience in planning. Moreover, they may have had the experience of developing efforts dealing with the same or similar problem areas and can thus provide direct advice on various alternatives.
- Operating agency personnel- A final source of information on alternative strategies may come from persons in agencies affected by the problem. These may include persons who would be directly involved in the program or persons in agencies that have attempted to resolve the problem. Not only can such persons provide insights on alternative strategies but the simple process of inquiring with them may reduce barriers to the program when it is implemented.

Chapter V
Planning the Details of Program Strategies

TEXT

In the introductory section of this text we suggested these reasons why programs fail:

- Because the problem was not understood,
- Because the strategies were inappropriate,
- Because the strategies were not carried out as planned.

In previous modules we focused on the first two factors. We should now feel confident that we understand the problem and that the strategies we have selected are appropriate to address the problem. The remaining factor to consider is: how do we assure that the strategies are carried out as intended? At this stage we are now ready to tackle the practical problems of designing the details of the program. In effect much of the "head-work" involved in conceptualizing the problem, identifying the most important components of the problem, developing strategic goals and developing strategies, comes down to this step where "the rubber meets the road." Unless we can translate the ideas into concrete activities the program will flounder no matter how pure our analyses and logic.

Defining the Level of Detail

A basic issue at this stage is, how much detail should the program developer provide? Is it necessary to design every component of the program? What details should be left to the persons who will implement the program? How much can the program developer anticipate in his or her plans?

The answer to this question, unfortunately, is "it depends." It depends, first of all, on the level of confidence the program developer has in the strategies he has developed. If the strategies are inherently "foolproof" it may not be necessary to plan any further. However, if there are questions about the strategy, about how well it will work or how easy it will be to implement, the program developer may feel compelled to spell out the details.

The level of detail also depends on the level of confidence the program developer has in the persons who will carry out the program--assuming that the program developer knows who those persons are. Finally, it depends on where the program developer is in relation to the level where the program will operate. If the program developer is at a state level and the program will be implemented by local neighborhood groups or police departments, the program developer may not be able to supply any additional details because of the sheer distance between planner and the realities of the local program site. As a rule of thumb, the program developer should avoid providing more detail than is relevant to the persons who will actually carry out the program.

On the other side of the coin is the caveat: "Whatever isn't nailed down now is probably going to come apart later on." Even at the state level there will be some details which must be considered and specified beforehand. These details should be inserted--not because the program planner considers the people at the local level incompetent--but because the logic and relationships of the program strategy may not be as obvious or compelling to local authorities as it is to the program developer. In short, the program developer should provide enough relevant detail to insure that the program will work as it is intended, taking into consideration the skills, capabilities and experience of the people who will run the program and the number of "unknowns" in the specific strategies and interventions being implemented.

A second set of conditions which may influence how much detail the program developer should provide, relates to the demands of persons who must approve the program. The decision-makers may require no more than an outline of the strategies to be implemented. However, they may require a detailed plan showing who will do what, when and for how much. Indeed, the decision-makers may still be skeptical that the strategies can be implemented at all, and may require concrete evidence that the strategies are feasible.

For purposes of this discussion we will assume that the program developer is obligated to plan the details of the program down to a considerable level of detail. We also assume

that those details are relevant to the persons who will implement the program and that the program developer can make some useful and realistic judgments about local conditions where the program is to operate. We now turn to a discussion of what those details might include.

The Details of the Program

A program is made up of a set of related and complementary projects or activities which we call program elements. We use this term to emphasize an important point--a program does not necessarily consist of new initiatives requiring additional money or resources. A program is a set of activities which are guided by a common normative goal and organized to meet a set of strategic goals. It is entirely possible for a program to not contain a single "new" project in the sense that term is normally used. For example, a program might consist of a new piece of legislation, the reorganization of an existing agency or the reallocation of resources to emphasize an existing function within an agency. A program could also consist of rewriting a procedures manual or setting up new standards of performance. None of these "elements" of a program would be normally considered a project in the sense of a new agency, new function, or new money being spent.

An element is a relatively discrete entity. It is intended to implement a particular strategy. It may operate independently or in conjunction with other elements to carry out the strategy.

It may consist of a single activity or several chosely related activities. It may be a continuous effort or it may be carried out only once. The elements are the building-blocks out of which the program is formed.

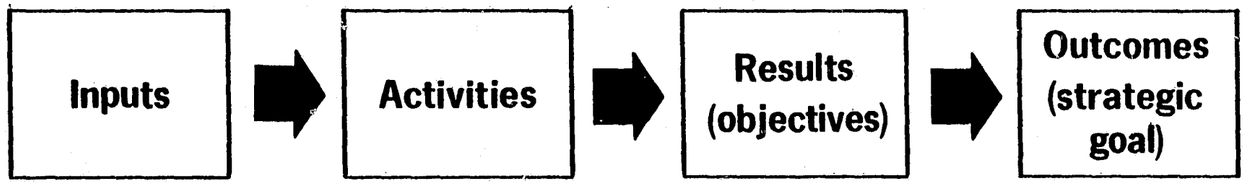
An element is made up of sets of activities. These activities require people and resources and produce results which, in turn, contribute to the accomplishment of the strategic goal. We describe these details of the element in the terminology of what is called the Method of Rationales (or MOR). The MOR depicts an element as a logical sequence in which inputs (people and resources) lead to the activities which lead to the results. The diagram on the following page depicts this relationship. The task of the program developer at this stage is to identify the inputs, activities and results for each element in the program, and to determine whether the results will in fact lead to the accomplishment of the strategic goal, called in MOR terminology the elements' outcome.

Organizing the Details of the Program

Having identified details of the element, the program developer's next task is to organize those details into a coherent whole and in many cases, adjust or rearrange the details of the elements to improve the "fit." There are several considerations which must go into this next set of tasks:

- Accounting for possible conflicts within the elements,

COMPONENTS OF THE METHOD OF RATIONALES



- Accounting for possible conflicts between the element and the rest of the CJ system,
- Determining when the different activities will be carried out, in what order, and for how long,
- Developing reasonable objectives for the element, and
- Estimating the cost and possible sources of support for the element.

Internal and external conflicts. The first two steps in this process are intended to uncover potential problems in the design of an element: possible internal conflicts, and potential conflicts with the rest of the Criminal Justice system. These steps are necessary because a failure to recognize these problems early--before the program is up and running--can result in serious delays and even the failure of the program. If these problems are identified early this step be taken to remedy them or at least reduce the amount of impact they might otherwise have on the program.

The problem of conflicts within an element is all too common to be ignored. Very often planners have failed to notice that they have overcommitted the persons who will run the program or have developed a set of activities which tend to run counter to each other. A classic example of the latter problem is the program in which police officers were placed into schools to keep order, break up fights, confiscate weapons and drugs while at the same time improve the image of the police among the students. Very quickly after the program started

the police officers discovered it was almost impossible to play both of these roles at once. Students resented the presence of the police and even those who were sympathetic to the goal of improving order in the schools were outraged when the police confiscated knives and marijuana from students' lockers. Under these circumstances it was almost impossible for the police to appear as "good guys" and present a positive image. Most officers tended to adopt one role or the other, thus defeating the goals of the program. The purpose of this first step is to examine each element so as to detect these possible conflicts before they are implemented.

A similar problem can arise when the program developer fails to take into account how an element might affect other parts of the Criminal Justice system or how the system might affect the element. For example, providing training for police officers or correctional guards means pulling people from their normal jobs. Unless the program developer can find a way to replace those personnel or find some means of providing training without interrupting the normal work of the agency, that element will probably fail.

Similarly, the standing policies and procedures of a criminal justice agency may seriously affect the ability of the agency to cooperate with the program. For example, several years ago a major city tried to establish a juvenile diversion program. The planners had assumed that the logical place to locate the program was in the police department, applying the theory that diversion should be instituted before the

juvenile has "penetrated" very far into the criminal justice system. However, after several months of planning the program developers were informed that the police were forbidden to make an independent disposition of juvenile cases under a recently enacted law. Consequently, the planners had wasted several months of effort and were forced to rethink the entire program plan.

The example cited above points out the danger of not considering possible conflicts within a program element or between an element and the rest of the system. Had the program developers taken even a few hours to examine such questions as possible internal inconsistencies or possible legal barriers the program could have been saved considerable expense and embarrassment.

Scheduling and networking the program element. One of the knottiest problems for a program developer is to take an abstract strategy and translate it into a sensible sequence of events. Merely knowing what should be done is not enough; those activities must also be anchored in time and orchestrated in such a way that they produce the desired results. The problem is analogous to setting up an assembly line in a factory. The program developer must be sure that part A arrives at point E in time to be installed in part C. Of course, a criminal justice program with dozens of persons working on many separate tasks is many times more complicated than a factory assembly line. No one complains if a crate of parts sits on a loading

dock for twenty minutes while the workers take a coffee break. But if a rape victim must sit twenty minutes waiting for a counselor to arrive at the police station the whole purpose of the program may be defeated.

The program developer must develop three types of detail about the activities of each element:

- The order or sequence of the activities,
- The length or duration of the activites, and
- The dates or times when the activity must begin or be completed.

In addition, the program developer must then arrange each activity into a schedule or network to insure that the activities can be carried out within a reasonable time, or more commonly, within the time limits established by decision-makers.

The order or sequence of activities within an element is largely a matter of logic. Some activities are dependent on others. Some activities can be carried out at almost any time. Some activities must be carried out simultaneously with others. Some will be conducted intermittently over a long period. The program developer may be forced to try several different arrangements before a sensible sequence can be discovered. In general, there is seldom "one-right-way" to order events in an element.

The length or duration of activities can be determined through experience. It is usually very difficult to estimate beforehand how long it will take to carry out a particular

activity. The program developer must consider who will be carrying out the activity, the number of persons involved and the relative newness of the activity to those persons. In general, most persons require a breaking-in period before they become proficient at any task, particularly a task with which they are unfamiliar. All of these factors, plus the inevitable delays caused by unanticipated events, should be considered by the program developer in estimating how long it will take to carry out an activity.

The final detail in this area to be considered is the time or date when various activities must be commenced and/or completed. In some instances these times or dates will have been established by others arbitrarily or because of overriding political or policy considerations. For example, a program with a great deal of public visibility may have to show positive results very early or face serious public or political opposition. Fixed dates such as legislative schedules, elections, funding cycles or fiscal years also create scheduling problems.

Converting the above details into a useful schedule and into a plan that can be communicated to others--particularly decision-makers--requires considerable skill. Decision-makers may be overwhelmed by a mass of details about each of the activities within an element. However, program managers may require this level of detail when they begin to operate the program. Graphic presentations such as a Gannt chart can be used to simplify the information for the decision-makers.

A more complex tool such as PERT (Program Evaluation and Review Technique) or CPM (Critical Path Method) are useful for both planning and presenting detailed scheduling information to managers.* These latter methods are particularly useful to be program developer when trying to answer such questions as:

- How long will the program take?
- Can we meet our projected completion date?
- If there is a delay in one activity, will the entire program be delayed, and if so, by how much?
- What is the most economical way to speed up a program?

However, these techniques are less valuable in planning ongoing processes, such as an offender counseling program, where the same activities are carried out over and over again. PERT and CPM are most valuable in depicting the start-up phase of programs or elements when discrete activities with definite beginnings and ends (e.g., hiring staff, buying equipment, preparing manuals) are involved.

PERT and CPM are not difficult to master. Basic knowledge of simple arithmetic is all that is needed to put them to use. But better than simply reading about them is to work through

*A good standard reference on PERT and CPM is:

Horowitz, J. Critical path scheduling: Management control through CPM and PERT. New York: The Ronald Press, 1967.

the process for oneself with the aid of a standard reference, such as the one cited on the bottom of page 11.

Developing objectives. The objectives of a program element are the immediate accomplishments the element is intended to reach to carry out the strategy and thus, contribute to the strategic goal. As discussed in an earlier section of the text, objectives are distinguished from goals in that they should be:

- Time bound, and
- Observable (measureable).

The purpose of objectives in a program are twofold: they provide an immediate point of reference toward which the persons running the program or an element should aim, and they provide a benchmark for evaluators and decision-makers against which program performance can be measured.

The objectives of a program element can be developed in several ways--some good, and others less desirable from a professional standpoint. One of the least desirable ways of developing objectives is to pick a level of performance that "sounds good." Many program plans are filled with objectives which have no basis in reality but which are included to convince decision-makers to approve the plan. Objectives should be more than words on paper. They should not be considered only as something to meet a bureaucratic fetish for precision. Objectives should reflect a realistic appraisal of what actually will happen when the program gets underway.

Nothing is as damaging to a program than a consistent failure to meet objectives. It undermines confidence in the value of a program and, ultimately, in the competence of the program developer and the planning profession as a whole.

In some instances objectives are not developed but are imposed on the developer by the nature of the problem and the tacit commitment to affect the problem significantly. For example, if the problem involves the failure of 300 witnesses to show up to testify, one way or another the program must find the means to bring all or a significant portion of that number into court. In this instance the objective is pre-set and the program element must be designed to meet that performance specification. Under other circumstances the objectives will be shaped by the limitations of the program element design. Given a fixed level of resources, or a strategy with a limited area of effectiveness, the program developer may be constrained in terms of the level of performance he can promise. In this instance the objectives emerge out of the development of the element posed on a realistic estimate of what can be accomplished.

The point of this discussion is that the program developer should not rely on intuition or use objectives as political tools. As a professional, the program developer should develop objectives which reflect realistic estimates of what can be accomplished given the design of the program's elements. While it is true that unanticipated events may defeat the objectives, this does relieve the program developer of the

obligation to make the best estimate possible, based on the information at his or her disposal.

Developing cost estimates and sources of support. The remaining detail to be developed is, how much will all this cost? For a decision-maker probably no other single piece of information is as important as the bottom line cost figure. This is particularly true in these days of budget cutbacks and Proposition 13 sentiments. It is of course possible to argue that if a problem is important enough, cost should be no object. From a long-term perspective this may be realistic approach--problems not addressed adequately today may well end up costing much more to tackle tomorrow. However, most decision-makers do not think in these terms, except on rare occasions, and it would take considerable skill to convince more than a small minority of administrators, managers and public officials to adopt this perspective. Consequently, it is the program developer's job to demonstrate that the money, time and effort needed to implement a program is worth it in terms of relatively immediate payoffs.

Before discussing cost further, it may be worthwhile to underscore a point made earlier in this discussion. A program does not necessarily have to involve the creation of entirely new or elaborate initiatives, agencies or interventions. Indeed, because these "new things" tend to be the least predictable and most problematical aspects of a program, the program developer may be wise to minimize the number of new

projects or elements, and focus first on using existing agencies, or reorganizing existing functions and resources. In this way the program developer can avoid the uncertainty involved in starting up entirely new organizations from "scratch," and at the same time save the considerable expense entailed in such new endeavors.

Of course, it should be recognized that no program can entirely escape imposing new costs on the system. Retraining or reorganizing staff in an existing agency entails costs: the cost of supporting substitutes while a regular staffer goes through training, the cost of meetings to develop new procedures and forms, and the often hidden cost caused by the temporary loss of efficiency during the breaking-in period of a program. Thus, even when the program develoepr adopts a strategy of using existing agencies and resources, there will be costs involved.

The process outlined in this course is designed to minimize (but not eliminate) the uncertainty involved in developing cost estimates. Earlier, at the step where the inputs, activities and results of the program were developed, the program developer identified the major cost factors involved in conducting the program. The input factors identified in that step represent the individual budget items for the program elements. As the details of the element are developed additional inputs may be added: to accommodate activities necessary to resolve internal or external conflicts, to accommodate the

schedule for carrying out the element, and to support the level of performance required to meet the objectives.

Once the program developer has developed this level of detail he or she has virtually all of the information needed to develop a realistic budget or cost estimate. The program developer knows:

- What inputs he or she will need to acquire (from the MOR)
- When and how long those inputs will be required (from the network or schedule), and
- How much or how many of each resources will be needed (to meet the objectives).

The remaining piece of information needed is the cost figure for each of the inputs. For this information the program developer can turn to budgeting experts, to persons in agencies with practical experience on costs, or to his or her own experience with other programs or projects. Cost information of the kind needed to produce a budget estimate should not be difficult to find, although it may require time and persistence.

Presenting the program budget to decision-makers for approval is a minor art unto itself. A major error many planners and program developers make is simply presenting a traditional line-item budget in which costs of a similar nature are lumped together (e.g., personnel, material, travel, etc.). The reaction of many decision-makers to such a budget

is that the staff has included "hidden" expenses in the budget. Under these circumstances the decision-maker may be sorely tempted to simply say, "You're spending too much on travel--(with images of program staff flying first class to some conference)--cut that down by $20,000."

A more effective form of presentation is to break program costs down by element so that decision-makers can more readily know where the money is to be spent. This approach has the additional advantage of permitting the program developer to specify the benefits (results) of each element in relation to the amount of money being requested. It also reassures the decision-maker that the cost estimates are legitimate and can be justified in terms of the requirements of the element and the program. There are dangers in this approach, however. A decision-maker may focus on one element of the program and, losing sight of its importance to a strategy, attempt to bargain the program developer down on specific cost items. Under these circumstances the program developer's best response is to fall back on the detailed planning work that went into the design of the element. Using this knowledge the program developer should be able to justify the cost figures.

Non-traditional sources of funding. The gradual withdrawal of Federal funding from the criminal justice field has forced many planning and operational agencies to consider alternative ways of funding and supporting program initiatives. For the program developer this situation presents both a

challenge and an opportunity to expand the range of potential sources of support. A variety of non-traditional sources of support are described below. You are encouraged to explore some or all of these options in your own jurisdiction.

- Federal programs other than LEAA-related--Individual elements of a program may fall within the range of interest of Federal agencies other than LEAA. This is true of programs with elements relating to housing, education, community development, mental health, drug abuse or employment. A handy source of information on the availability and requirements of these programs is the:
- Catalogue of Federal and Domestic Assistance. Washington, D.C., Government Printing Office, (published annually). If attempting to develop funds from these sources would be considered "poaching" on another agency's territory, this might be a good basis to develop ties with other agencies with related interests.
- Private Businesses and Foundations--Each year considerable sums of money are distributed by private businesses and foundations for projects that improve community conditions or amenities. In theory, there is no reason why criminal

justice-related projects could not be included in this category. Local businesses may also be induced to donate "in-kind" contributions to projects operating in their communities. Major corporations have also "donated" experienced management personnel to state and local governments as part-time consultants on programs and projects.

- Local Churches, Civic and Social Organizations--Programs with elements relating to community education, or civic imporvement can benefit from the extensive work done by local volunteer groups. These groups can provide manpower for surveys, contribute office space for neighborhood level activities and can provide a valuable liaison service between the program and local residents.
- Local Colleges, Universities and High Schools--A recent trend in education is to involve students in volunteer work in the community as part of a "hands-on" educational experience. Local programs may find a valuable source of manpower in the schools by incorporating students into the plans of an element. Because these students may be receiving academic credit for such work, they may tend to be more reliable than other volunteer-type groups. College and university faculty may also be used as volunteer consultants for local projects or elements.

Chapter VI
Preparing for Program Implementation
and Evaluation

TEXT

The design and approval of the details of the program is a major step in the program development process. However, the program developer's job does not end here. Many well-designed and thoroughly planned programs have failed, or have been unable to reach their full potential because inadequate attention was given to the next critical steps: integrating the different elements of the program, identifying the key events in the plan and assuring that the program is implemented as it is designed. In this concluding module we will discuss various ways in which the program developer can help to translate the plan into a set of unified, concrete actions and assure that the program will remain "on-track" after it is underway. In addition, we will discuss how the program developer can integrate the implementation of the program plan with the evaluation and monitoring process. In this latter discussion we will focus on four major topics:

- Communicating the plan to program implementors
- Developing special conditions, performance, standards and limitations for implementors
- Selecting appropriate implementors

- Preparing for program monitoring, evaluation, management and technical assistance.

Program and Project-Level Implementation

Before discussing the major topics listed above it may be useful to reemphasize a primary conceptual distinction we have made throughout the course--the distinction between program- and project-level planning. Program development necessarily involves a consideration of what happens at the project level or at the level of the individual activity within a project. However, this interest on the project level should be guided by an overall perspective of what all the projects and all the activities are intended to accomplish as a whole. While the developer must be concerned with assuring that the individual elements of the program work as they should, at the same time the developer must be constantly aware of how the performance of Project A will affect the performance of Project B, and how the collective performance in all projects and activities work together to reach the program's goals. Thus, if Project A does not provide the right kind of job training to the juveniles referred to it by Project B, and Project C was set up to place those juveniles in certain dedicated job slots, the problem is not just that of Project A. The failure of that one project or perhaps one crucial aspect of its design can potentially place the whole program in jeopardy.

The program developer is the person in the best position to anticipate problems such as these. The developer must maintain a dual perspective on the program and its elements. The developer must consider

- How to assume cooperation and coordination <u>between</u> the program elements, and
- How to assure that each element produces the <u>results</u> needed to meet its own <u>internal</u> objectives.

Obviously, there is a limit to the amount of pre-implementation planning that can be carried out by the program developer. The developer must allow individual project managers enough flexibility and freedom to do their job. However, the developer can set guidelines, suggest procedures, and help smooth the implementor's path through a judicious use of the knowledge and skills that have been acquired through the development phase. In all of these matters the "rule of thumb" should be that the program developer has an obligation to do all that can be done to maintain the integrity of the program as a whole within the limits of his or her authority.

<u>Integrating the Elements of the Program</u>

It very often happens that a program is designed by groups of persons organized into different task forces or committees--particularly when the program contains several different strategies, or affects several areas of the criminal justice system. The major drawback to this approach is that

the different groups will tend to work independently and not take adequate consideration of how their one part of the program may affect or be affected by the other parts. Even when the program is designed by a single group or person, the developer(s) may tend to ignore potential cross-impacts among the elements. Consequently, in this course we advise the program developer to examine these cross-impacts as a way of integrating the elements into a coherent whole.

Earlier, in discussing the development of the program elements we made a point of considering possible internal impacts within an element, and possible conflicts or cross-impacts between an element and the rest of the CJ system. Now we will repeat this process, but this time focus on the different elements themselves. In this assessment we are looking for the following:

- Potential conflicts among the different activities, results or outcomes;
- Areas where two or more elements should be coordinated because they tend to feed into one another;
- Areas where two or more elements could share their resources or responsibility or otherwise assist each other;
- Areas where two or more elements should communicate with each other or schedule their activities together.

The products of this step could include the revision of specific activities within an element, the creation of coordinating mechanisms or joint-management groups to help integrate the activities of different elements, a partial collapsing of activities or even entire elements to avoid duplication of effort or the creation of special agreements or procedures to lay out responsibilities and enhance communication among persons working on different elements. Through this step the program developer can assure that the program will, in fact, be a set of complementary activities rather than just a set of discrete elements under a common program label.

Identifying Key Events

It is very easy for a program developer to lose sight of the programmatic purpose after a program has been designed down to a relatively low level of detail. It is very tempting to become enmeshed in the minutia of the program, particularly when the program involves multiple strategies and numerous elements. However, once the details of the program have been developed, the program developer should make a conscious effort to step back and view the program as a whole. The process we suggest for this step is what we call "key event" analysis. In this step the program developer will attempt to identify these elements, activities or relationships which are particularly critical to the successful implementation of the program.

In theory, almost any part of a program could be a "key event." In addition, it may not always be possible to identify all of the key events in a program before the program gets underway. A large, complex program simply involves too many potential interactions, events and activities for the program developer to worry over them all. However, there are some events which are obviously and logically more important than others. This discussion will attempt to provide some guidelines for identifying them.

- One set of key events are important because they assure the integration of the different program elements. Elements or activities designed to head off potential conflicts, coordinate activities between elements or agencies or provide overall supervision of the program are, by their nature, almost always "key" to the success of the program.
- A second set of key events are important because they provide integration within an element. Those events, developed to avoid potential conflicts or coordinate activities within an element, are also important because they play a major role in assuring the successful implementation of that element.
- A third set of key events are those elements or activities designed to accommodate potential conflicts between the program and the rest of the

CJ system. These events are important because they provide the link between the system as it exists now, and the program. Given the potential for conflict and cross impact, these activities or events are critical to the success of the program.

- A final set of events are "key" because they implement or attempt to guarantee the assumptions the program developer made about why the strategy should work. For example, if the logic of a strategy assumes that neighborhood residents will accept and understand certain educational materials they are to be given to help them reduce their risk of becoming a crime victim, any and all activities or elements designed to enhance the acceptability and understanding of the material become "key events." Obviously, if a strategy rests on an assumption that is not met in the program implementation, success of the program is greatly reduced.

Using Key Events. The purpose of identifying key events is twofold in nature. First, key events serve as guides to implementors about those aspects of the program, or their part of the program, which the program developer considers critical to the success of the program. Thus, from the implementors' perspective they can help in the management of the program by indicating where the implementor should focus his or her attention.

The second function served by the key events is to help evaluators and monitors to identify where in the program they should be devoting most of their effort. By the same logic which guides the implementor, key events are the critical points which hold the program together and make it work. More will be said about the use of key events in subsequent parts of this chapter.

Communicating with Implementors

The model upon which this course is based anticipates that a given program may consist of a variety of elements. Some of these elements may involve direct action by persons in the planning agency, i.e., drafting or proposing legislation, providing assistance to operating agencies on changes in their internal procedures, or preparing materials for distribution to the public. Other elements may involve purely internal, no-cost changes in existing agencies, i.e., modifying report forms, reassigning personnel or orienting employees to the program. However, some elements will involve the establishment of entirely new activities requiring direct financial support from the planning agency or other sources. These are the type of activities which are most readily associated with new programs. And, because they entail the greatest amount of uncertainty and risk, these activities should receive the greatest amount of attention by the program developer.

If the program developer has been able to follow the suggestion of working closely with the persons and agencies

that are to implement these new activities in the design of the program plan, the communication "gap" between the developer and the implementor should be relatively narrow. If, however, the plan was designed with only minimum participation by the implementors, the developer has the burden to clearly communicate the intent and structure of the program plan.

There are several standard vehicles for communicating with potential implementors. They include:

- The "Request for Proposal" (RFP);
- The Program Announcements;
- The Program Description published in annual plans prepared by the planning agency;
- The General Announcements published in periodicals, journals and newsletters;
- The Bidder's Conference--a formal presentation to prospective bidders on the program;
- The Decision Package developed for policy-makers but often useful in communicating the overall intent of the program;
- Policy or Procedural Directives--internal documents which inform administrators and line staff of changes in the way an agency operates or the standards it must meet;
- Legislation--perhaps the most effective, and certainly the most authoritative way of establishing the scope and intent of a program.

These vehicles may be directed to the criminal justice system as a whole, to persons or agencies on a standard mailing list, or to selected persons or agencies with a particular interest in the program. How wide or how narrow the distribution should be will depend on the purposes to be achieved by the distribution. These purposes are relatively fixed:

- To publicize the existence of the program to relevant persons in the field
- To attract a range of informed candidates for program participation from which to choose
- To communicate what would be expected of a participant, and why
- To permit interested candidates to make an appropriate response to the announcement
- To inform persons in authority of what the program is and what they are expected to do.

Content. The information in the announcement or RFP should enable the potential implementor to answer the question, "Is this an effort my agency should undertake?" To do this the implementor should be provided with a clear description of:

- The Problem Analysis--What is known about the problem? What is suspected? How does the planning agency view the problem? What assumptions have the planners, analysts and program developers made and why is a program being developed to deal with the problem?

- Program Goals--What is the program trying to accomplish, not just in respect to the one part of the program of immediate interest to the potential implementor, but the overall goals of the program.
- Objectives--The potential implementor should know what his or her agency is expected to accomplish as well as the objectives of other agencies or persons with which he or she may have to cooperate.
- Activities--The potential implementor should know how the objectives are to be achieved. This includes both the content of the activities and the schedule that should be followed.
- Sites--The potential implementor should know where the work is to be done.
- Eligibility Requirements--This information might include the kinds of agencies that are eligible to bid as well as the necessary qualifications of the staff or the agency itself.
- Funding Levels--This may be the critical factor for many otherwise qualified agencies or persons. Without this information the agency may be unable to assess its ability to meet the other requirements.

The style of the announcement should be clear and unambiguous. If technical or specialized terms are used they

should be defined. If certain aspects of the program or project are not clearly or completely developed this should be made explicit. The content, format and style of the announcement should be such that the potential bidder knows (or can find out) exactly what the program developer wants and expects in the response.

Special Case: The Pilot Program. In the case of pilot programs or experimental projects, in which the details of the program have not been completely worked out, the potential implementor may be requested to provide the details about how he or she would approach a particular problem. The RFP or announcement may not provide all of the information suggested above or may only provide partial information on certain topics. Thus, the developer is requesting that bidders or potential implementors in effect design the project themselves. This may be a useful approach when the developer is seeking fresh ideas to be tested through the program.

Developing Special Conditions, Performance Standards and Limitations

The ability of the program developer and the planning agency to assure that the program plan is carried out as intended depends heavily on the special conditions, performance standards and other limitations built into the original design. As a practical matter no funding agency can dictate to an autonomous operating agency and no plan can be so detailed that certain alterations cannot be (and should not be) allowed.

Nevertheless, before a program is turned over to an implementor it is reasonable to specify certain expectations that should be met by the implementor as a condition of participation and funding.

General Performance Standards. These requirements cover such topics as hiring, allowable costs, reporting requirements, record-keeping, and facilities. The states and certain local planning units may impose additional requirements on grantees relating to those or other subjects. These provisions are usually standard and should not pose any serious constraint on recipients.

Special Conditions and Performance Standards. The program developer may wish to insert certain additional conditions or standards designed to assure the proper operation of the program. These additional requirements may be negotiated with the implementors or they may be a fixed condition of funding. If this is necessary these special conditions or standards should be specified when the program is announced so that potential implementors may consider them before deciding to bid.

Examples of special conditions or performance standards might be:

- That the implementor agrees to not deviate from the overall objectives of the program or project. For example, if the project is intended to provide crisis counseling to crime victims the

project should not be allowed to expend funds on marital counseling or job placement services.

- That the implementor agrees to provide services to a minimum number of clients. If a project is funded to provide job-training services to 400 newly-released offenders in a year the project should not be allowed to reduce the number or to "pad" their clientele with persons in other categories. Such a requirement might be particularly necessary if other projects must coordinate their activities with the project in question (i.e., job placement projects serving employer-clients with fixed manpower needs.
- That the implementor agrees to meet certain schedules or milestones. In a complex program where the activities of several projects must be coordinated and phased-in over time, the failure of one project to meet a milestone may affect several activities.
- That the implementor agrees to employ persons with certain minimum training or qualifications. If psychiatric services are needed in a prison program it may be permissible to substitute a psychologist or even a social worker. However, the substitution of an untrained counselor with a B.A. in Sociology may defeat the purpose of the project.

- That the implementor agrees to keep certain kinds of data and records for monitoring/evaluation.
- That the implementor agrees to certain limits on expenditures. If funds are limited it may be necessary to impose certain funding limits in order to support all of the needed activities.

The establishment of special conditions and performance standards, to repeat the general rule, should be limited to those aspects of a project or activity that are critical to the overall program. The developer can identify these critical aspects in the plan from the key events. If a key event in the strategy rationale requires that certain assumptions must be met for that element to work, the program developer should establish a special condition or performance standard in that area. The developer can use the key event analysis to identify where a special requirement should be imposed, and justify that requirement on the basis of the overall program logic and design.

Resolving Inconsistencies

It is unlikely that the implementors selected to participate in the program will propose a detailed plan exactly as it was originally designed. After implementors have been selected the program developer should begin a process of negotiation to resolve inconsistencies between the plan as designed and the program as proposed. The developer should resist changes in the plan which might jeopardize its overall

integrity or purpose. However, the developer may be forced to revise the final plan in order to accommodate limitations among the participants or unanticipated problems. If an agency must retrain its personnel in order to carry out its objectives the developer may be forced to delay the start-up of the program. If the developer has developed a detailed schedule in the earlier stages of the process these changes and their implications can be more readily made and accommodated.

Post-Selection Planning: Monitoring, Evaluation and Technical Assistance

The final post-selection activity for the program developer is the preparation for evaluation, management and technical assistance. There are limits to the amount of pre-implementation planning the program developer can carry out without running afoul of the prerogatives of agency managers and the inevitable, unanticipated problems of the real world. In this section of the discussion we will present certain measures the program developer can and should take to minimize the impact of these factors on the program.

Planning for Evaluation and Monitoring. The planning of the program evaluation should begin very early in the program development process. One of the criteria for selecting an element should be the evaluability of the element. In addition, the identification of key events in the design and the setting of objectives should be made with an eye toward the eventual evaluation of the program.

Program versus Project Evaluation. The evaluation plan should distinguish between the evaluation of the program as a whole and the evaluation of the individual elements and activities within the program. The distinction is primarily one of focus. Individual parts of the program may work correctly but the overall program may still fail. The purpose of evaluating programs and elements is to determine whether or not the program or element met its goals and objectives and if not, to determine reasons why. However, the criteria for determining whether a program succeeded or failed are necessarily different and at a higher level of abstraction than those used to evaluate a particular element or activity. Program evaluation is focused on the strategic goals, objectives, and key events of the program as a whole. Project evaluation is focused on the objectives and key events within a particular element.

At both levels there are three primary types of evaluation:

- Monitoring
- Process evaluation
- Impact assessment

The distinction between the types of evaluation can be readily understood in reference to the MOR. The general form of the rationale is shown below.

INPUTS ---→ ACTIVITIES ---→ RESULTS ---→ OUTCOME

When monitoring the evaluator focuses on the first two links, inputs and activities. The evaluator attempts to determine whether planned activities of the effort were carried out and whether the resources needed to support those activities were obtained. Monitoring is focused on questions of compliance and managerial adequacy.

A process evaluation extends the questions asked to a consideration of the first three elements, inputs, activities and results. In addition to asking if the planned activities were carried out and necessary resources were obtained, the evaluator also examines the results of those efforts. Thus, process evaluation attempts to determine the immediate efficiency and effectiveness of the effort.

Impact assessment examines all four of the rationale elements. In addition to the other questions the evaluator asks whether the effort met the goals for which it was implemented, i.e., did it attain the strategic goal?

The type of evaluation to be applied will depend on the degree of confidence the program developer and decision-makers have in the elements and links they have designed. If he or she is uncertain about the ability of an implementor to obtain the inputs and carry out the activities they will want to conduct a process evaluation. Finally if the primary concern is with the long-term outcome of the effort an impact assessment will be called for.

If the program rationale has been planned in detail the design of the evaluation, at whatever level, should be relatively simple. The aspects of the program that were the focus of the design effort, the key events, are also the aspects of the most concern to the evaluator. Just as the program developer put the greatest effort into designing the details of the key events, the evaluator will make the greatest effort to examine those events during implementation. The program developer and the evaluator are motivated to look most closely at the same aspects of the program for the same reasons:

- Uncertainty about the ultimate success of a given element, and
- An awareness that the key event is critical to overall success of the program.

The criteria for evaluating a program or project are also closely tied to the design considerations that go into the strategy rationale. That is, the criteria will evolve as the developer identifies the critical performance specifications demanded of the individual projects and activities. If a given project must provide crisis intervention training to 200 police officers during a year in order for the project to meet its objective, that specification will become a criterion for evaluating the project. At the program level, if a strategic goal of the program is to increase the number of persons who shop downtown the evaluator will focus his or her attention on monitoring changes in that measure while attempting

to determine how much the program's elements contributed to those changes.

The concerns and needs of the evaluator will have an impact on the design of the program from the beginning. If the evaluator is to appraise the effectiveness and impact of a program, baseline data on the problem and its components must be collected before the program is implemented. After implementation the evaluation may also require the implementors to keep certain kinds of data and records. Finally, the evaluation schedule will have an impact on the design insofar as the evaluator anticipates periods of intensive on-site observation and data collection. This may be coupled with the scheduling of critical decision-points in the program. The decision-points are intended to provide the implementor with an opportunity to revise or redirect his or her activities on the basis of interim evaluation findings. In the case of experimental or pilot programs, where the level of uncertainty is high about all phases and aspects of the effort, the evaluation may be a critical element in the plan.

Planning for Program Management. Information generated by the evaluation will be a primary input to the management of the program and the individual elements under a program. The monitoring function will serve as a key management device for the funding agency and the manager of individual projects. The information generated through evaluation can guide decision-makers on whether to expand, reduce or continue the program

or its individual elements. This information can also be used by implementors in the management of their specific elements or activities. It can

- Identify critical problems arising in the operation of the project
  - Personnel shortages
  - Schedule delays
  - Budgeting problems
- Identify critical problems in the general design of the project
  - The effectiveness of certain procedures or techniques
  - Gaps or inconsistencies in the procedures or techniques
- Identify unanticipated or extraneous factors
  - Service demand levels higher or lower than anticipated
  - Unanticipated events or crises outside the program

The program developer can also build into the design of the program certain features which will ease the management load on individual managers and provide internal self-correcting devices to coordinate the overall program effort.

- The program developer can identify specific areas in the program where managerial attention should be focused. If the developer knows that one part of the design may present a particular problem to implementors, on the basis of the experience of other, similar projects, he or she can identify these to the implementor. Indeed, the developer could require the implementor to address these issues in the management plan or make provisions for the problem in the design of the project.
- The program developer can identify areas that require constant monitoring by the implementor. If some aspect of the project is highly uncertain or is subject to rapid changes the developer can advise the implementor to give particular attention to that feature. The developer could also require the implementor to build in "self-correcting information feedback systems" so that changes in the way the project is operating are immediately "flagged" and corrective measures can be taken.
- The developer can build-in certain coordination mechanisms between projects

and activities. In large and complex programs, with many interlocking or interdependent projects and activities; it may be necessary to create mechanisms to coordinate and correct the program as it operates. The developer could establish a standing committee of representatives from each of the parts of the program. This committee could serve as an overall management board to make adjustments, resolve conflicts, or improve communications within the program. Similarly, the developer could design in specific communication links between projects.

In short, the experience and knowledge gained by the developer during the design process can be useful to implementors after the program is underway. To the extent that the developer can influence the way the program is managed, the developer can also institute specific mechanisms in the program design to smooth the path for managers.

Planning for Technical Assistance. The last aspect of the program developer's post-selection role relates to the provision of technical assistance to implementors. If the developer has taken the process through the steps suggested and outlined here, he or she should have as much or more knowledge about the program as any implementor. It follows that the developer can be a major resource to implementors as an advisor and consultant. The developer is also in an

excellent position to anticipate when and where implementors may need specialized assistance. Thus, the developer can begin to assemble the technical assistance resources of the planning agency and advertise its availability to implementors. Finally, when possible, the developer can make the provision of technical assistance a fixed point of the overall program design.

Chapter Summary

In this chapter we brought the program development process up to the point where the program can and will be implemented. The steps we took in this chapter were intended to insure that the program will operate as intended when it is implemented and to build in a variety of mechanisms and safeguards to head off major problems while they are still at a manageable level. We discussed the necessity of stepping back from the details of the program elements and viewing the program, once again, as a whole. We discussed the need to integrate the different elements of the program by creating coordinating linkages, a sharing or collapsing of responsibilities and the identification of areas where conflicts might arise. We discussed the concept of the key event and how it can be used to both manage and evaluate a program. Finally we discussed the problem of communicating with implementors, the different methods that could be utilized and the content of the communications. Within this context, we discussed concrete steps the program developer can take to smooth the path of potential

implementors including guidelines, requirements and the provision of technical assistance and evaluation feedback.

Course Summary: An Overview of the Program Development Process

Having reached this point in the discussion of program development it may be instructive to trace our steps through the process and see how we got here. At the beginning of the process we were confronted with a problem. What we knew of the problem was contained in a document which we called a Problem Statement. Before we could proceed any further we needed to know two things. We needed to know if that document and the information it contained was technically adequate by the standards of criminal justice planning, research and analysis. We also needed to know if the information in the Problem Statement was adequate on a conceptual level; that is, did the Problem Statement adequately describe and explain the problem so that we could make sensible decisions and judgments about it. We explored a variety of ways of looking at the conceptual adequacy of the Problem Statement, including the development of a conceptual model which attempted to tie the important aspects of the problem together into a coherent and unified whole.

This initial examination of the problem was narrowly focused on a single problem. The next step was to look at the problem as one of a set of competing problems and to set priorities among them. We discussed several ways of looking at problems and setting priorities ranging from the difficulty

of defining the relative importance of a problem to the practical influence of politics and public opinion on the program developer's role.

Based on our understanding of the problem we tackled the difficult process of developing a set of strategic goals--the end points toward which the program would be aimed. We explored the different functions of strategic goals and the different ways in which these goals could be identified, selected and drafted. At this point we had formulated the boundaries of the program. On the one side was the problem--where we were--and on the other side were the goals--where we wanted to go. The rest of the process was aimed at closing the distance in between.

The next step was to formulate strategies. We drew on a variety of information sources, including our understanding of how the problem works, to identify a range of possible strategies. We then took each strategy apart and examined the assumptions they embodied. Out of this assessment of the logic of the strategies we eliminated some and pointed out the strengths and logical weaknesses of the rest. Eventually we settled on those strategies that gave us the best chance of reaching our goals.

From this point on the process almost drove itself. We were now concerned with details: who should do what, when and for how long? How much will this cost? What conflicts and inconsistencies should be avoided or resolved? What can we reasonably expect to accomplish? We resolved these questions

at the level of the program element--the building blocks out of which the program is to be constructed. Finally we stepped back from the details and view the program as a whole one last time. From this perspective we saw areas where the different elements should be integrated. We identified the key events within and between the elements and planned for the eventual implementation and evaluation of the program.

Of course, program development will not end here. Ahead of us lie decisions about managing and refining the program in operation. Eventually we will make further decisions about continuing, revising or ending the program. Throughout this later process we may come to question some of the decisions we made earlier and perhaps reformulate our ideas about the problem itself.

Program development, as described here is a process of successive exploration, analysis, refinement and selection. We have described it as a linear process, whereas, in reality the steps often double back on each other or occur together in fits and starts. In places the process relies as much on intuition, artistry and sheer gall as it does on analysis and professional judgment. The political skills involved in the process have been hardly covered, but they are as important as the ability to construct a conceptual model or put together a PERT chart.

In many respects the process described here is extremely idealistic in relation to the realities of planning and

analysis in criminal justice. However, like all ideals, we believe the process can help the practitioner in the trenches avoid becoming totally overwhelmed by the competing pressures of time and politics. If that much is accomplished we may have made some headway in the quality of the programs we develop.

END