

U.S. Department of Justice
Law Enforcement Assistance Administration



Criminal Justice Planning and Management Series

Volume 5

**Criminal Justice
Management Course:**

Participant Guide

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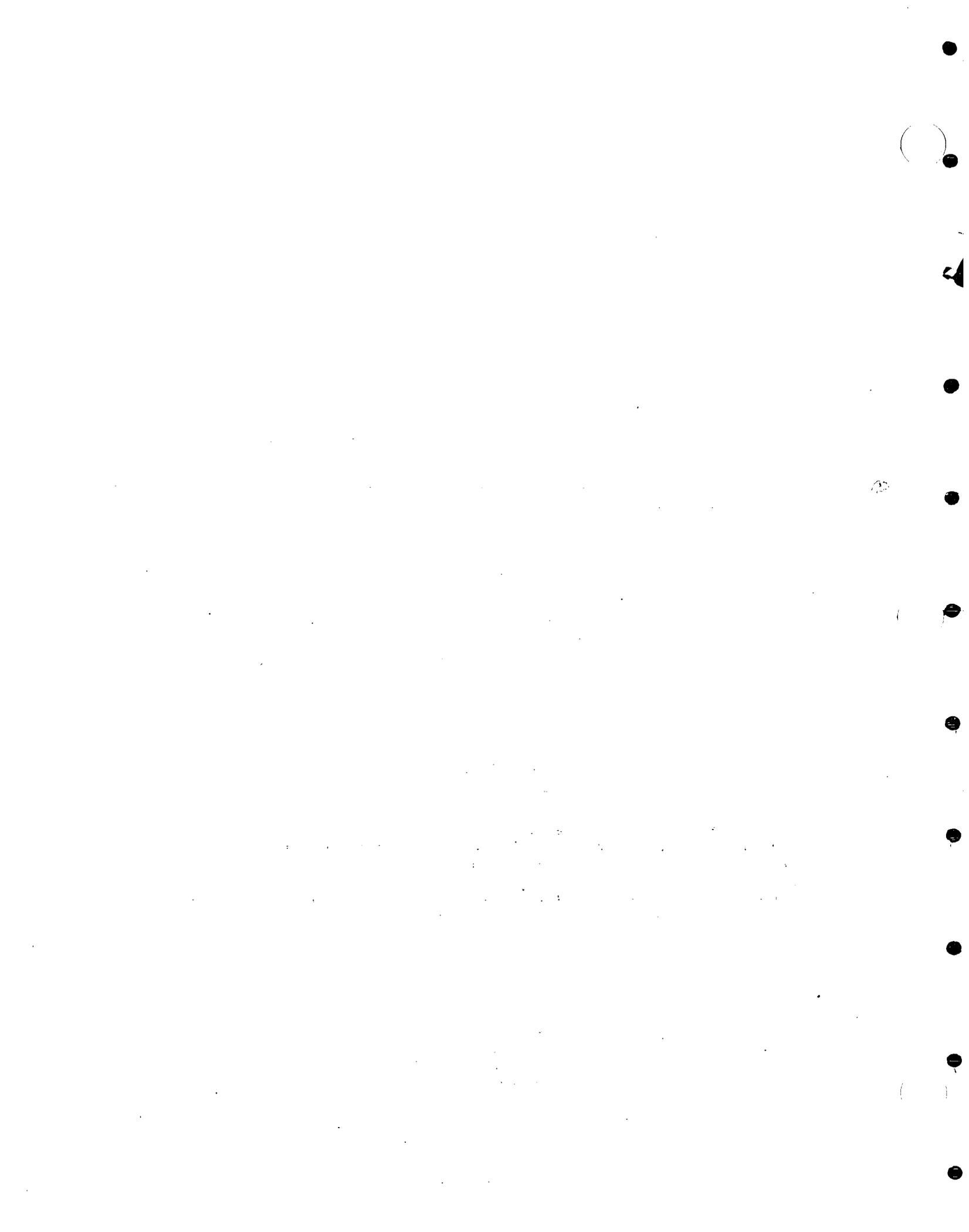


Participant Guide

CRIMINAL JUSTICE MANAGEMENT

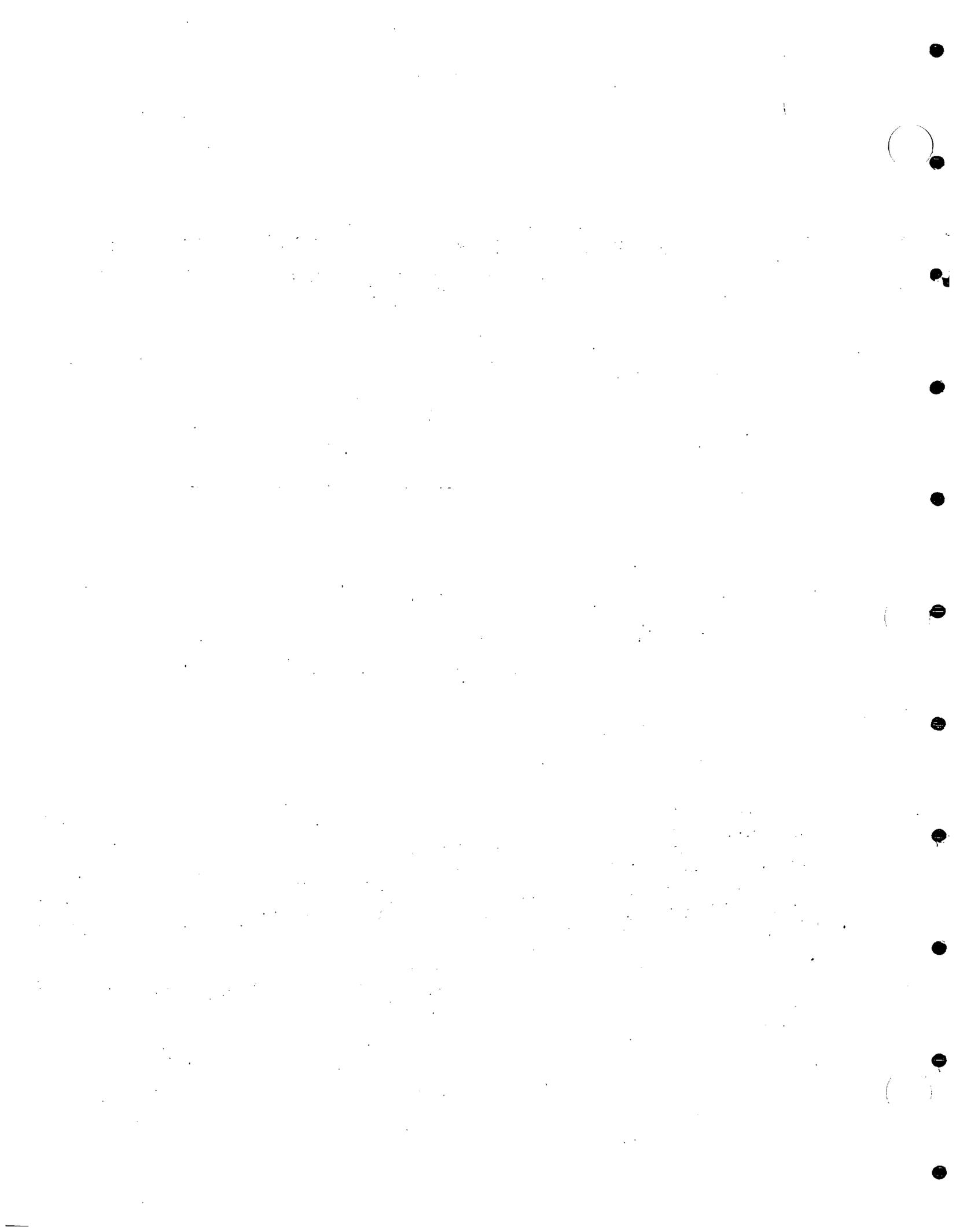
A COURSE FOR
CRIMINAL JUSTICE
ADMINISTRATORS

Sponsored by the
Law Enforcement Assistance Administration
of the
U.S. Department of Justice



CRIMINAL JUSTICE MANAGEMENT

This document was prepared by the American Management Associations, New York, New York, in partial fulfillment of the requirement to develop a Criminal Justice Management Course under LEAA contract number J-LEAA-033-78. Points of view, opinions, theories and educational perspectives expressed in this document do not necessarily represent the official positions of the Criminal Justice Training Centers, The Law Enforcement Assistance Administration or the United States Department of Justice.



Participants' Guide and Text

CRIMINAL JUSTICE MANAGEMENT COURSE

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INTRODUCTION

This Participant's Guide and Text (PG) is your basic source document for the Criminal Justice Management Course. It serves a two-fold purpose: to provide you with an expanded outline of the Course content, and with textual material that reinforces and expands upon selected Course topics. The outline follows the sequence in which the Course is conducted, and space is provided in which you may make any notes you desire. Because the field of criminal justice management is so vast and complex, all that can be accomplished in a four-day course is to introduce you to the pertinent topics as a foundation for practical application and further study. The manner in which the outline is constructed should assist you to optimally assimilate what is offered.

The "Text" portion of the PG has been designed to facilitate background reading and in-depth research into the main subject areas taught in the Course. For ease of reference, the textual materials pertinent to a particular module are to be found under the "Reference Reading" tab at the end of that module.

The Text consists of the following reference resources:

- o An annotated bibliography of several works on topics related to those covered in the module.
- o A bibliography of resource books and articles that expand upon topics covered in the module.
- o A set of articles on topics that are presented in the module.

In the context of resources that provide greater insight into the management approach presented in this Course, special attention must be given at the outset to the other Courses being offered through the Criminal Justice Training Centers. These Courses -- Planning, Analysis, Program Development and Evaluation -- are "sister courses" of this Course. The concepts established in these other courses serve, in many ways, as the theoretical "skeleton" for this Course. Participation in these Courses, or examination of the Course materials, is strongly recommended. Such activities should greatly enhance understanding of both the theoretical and practical foundations of the management process presented in this Course.

As indicated above, at the conclusion of each module there is a brief bibliography which can serve as a point of departure for further examination of particular topics. In performing the research for this Course, the developers used a number of works that were important in shaping either the overall philosophical and context approach to the Course or were otherwise particularly useful documents. The developers would recommend these to participants. They are:

Benge, Eugene J. Elements of Modern Management. New York: AMACOM, 1976.

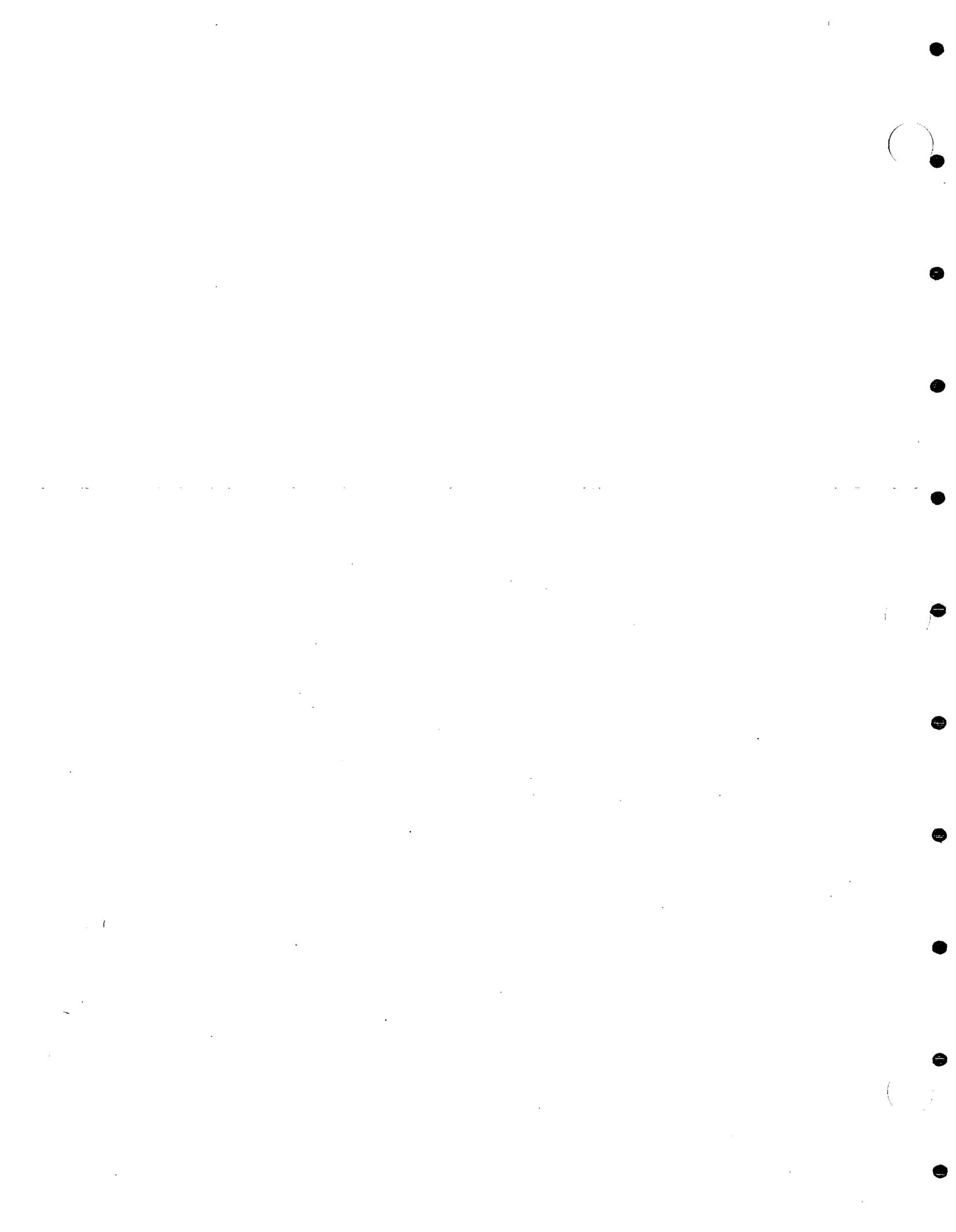
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MODULE ONE

ROLES AND RESPONSIBILITIES

OF THE

CRIMINAL JUSTICE ADMINISTRATOR



MODULE ONE

ROLES AND RESPONSIBILITIES OF THE CRIMINAL JUSTICE ADMINISTRATOR

Module Overview

This Module introduces the course and the Management Process that serves as the schematic guide for the course. The Module also describes the three roles performed by a criminal justice administrator and the three major responsibilities included in each of those roles. Special emphasis is placed on the various types of "power" which can be utilized by a criminal justice administrator in performing the three roles.

Learning Objectives

At the completion of this Module, the participant should be able to:

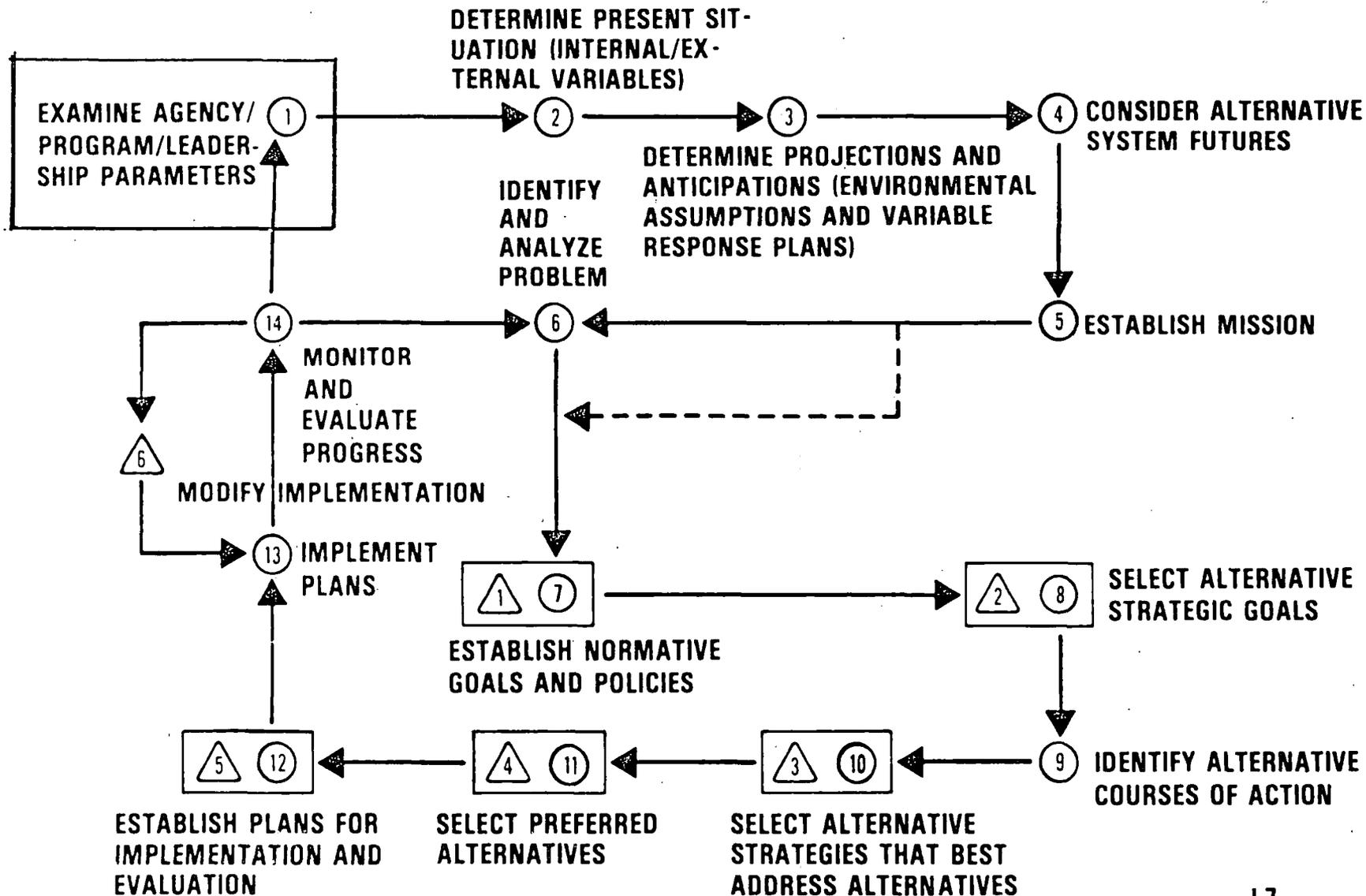
1. Interpret the Management Process Chart.
2. Identify and explain the three roles performed by a criminal justice administrator.
3. Identify and define the three major management responsibilities carried out by criminal justice administrators in performing their roles.
4. Define the various types of "power" which can be exercised by criminal justice administrators.

Description

This Module consists of two major components:

1. A lecture
2. A group exercise

MANAGEMENT PROCESS



I-2

I-7

This Module addresses the aspect(s) of the Management Process Chart that is (are) highlighted

I. THE EMERGING DISCIPLINE OF CRIMINAL JUSTICE ADMINISTRATION

During the past decade there has been a growing awareness of criminal justice administration and a concomitant development of a series of courses by LEAA to develop and enhance capacities of criminal justice administrators. These specific capacities are functions of:

- Planning
- Analysis
- Program Development
- Evaluation

Managers at higher levels deal more with conceptual tasks (Visual 1-2). Managers at all levels deal with interpersonal types of tasks. The Criminal Justice Management Course will address a number of these latter tasks, and will also stress the practical/conceptual skills of taking the technical products of the other courses and using them to effectively perform the managerial function.

II. OVERVIEW OF THE COURSE

A. Course Theme

The salient theme of this course is that criminal justice administrators variously act in three modes or roles in executing their functions. These roles are:

- Exercising authority over and directing their own agencies or organizations;

MANAGERIAL TASKS

TOP MANAGERS

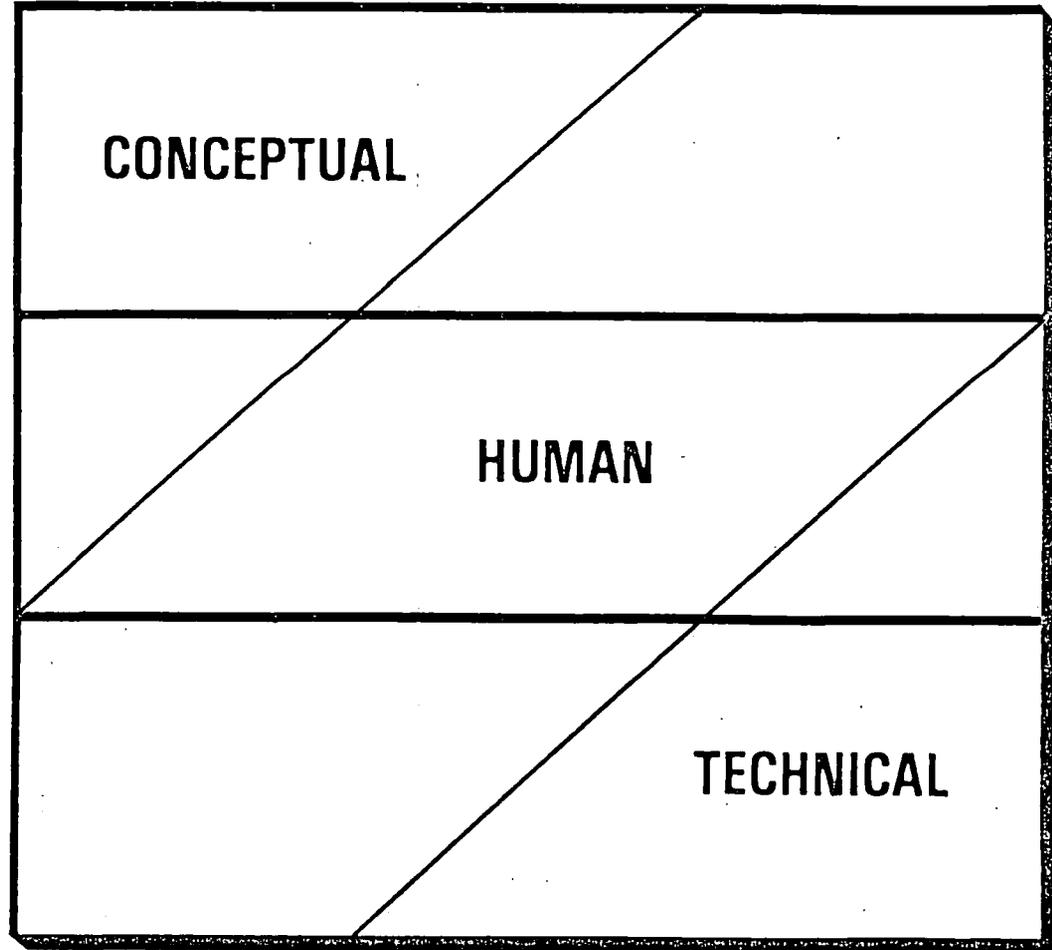
CONCEPTUAL

MIDDLE MANAGERS

HUMAN

FIRST-LINE MANAGERS

TECHNICAL



1-4

1-2

- o Managing programs or activities over which they have limited authority; and

- o Exerting leadership or influence in areas over which they have no authority.

As criminal justice administrators carry out their responsibilities, they frequently move, imperceptibly, from one role to another. This course will provide a foundation for criminal justice administrators to plan, organize and control programs and activities successfully across this spectrum. It will emphasize, among other things, how to apply conventional techniques of management to operate within this unique environment.

B. Course Goal

The goal of this course is to enhance the capability of criminal justice administrators to plan, organize and control activities and programs under their authority, and to promote the improved performance and administration of other criminal justice activities and organizations. This goal will be achieved by teaching the participants to apply knowledge, skills and techniques that are particularly appropriate to criminal justice administrators.

C. Course Objectives

The course goal will be attained by achieving four overall course objectives. These objectives are to enhance the ability of participants to:

- Apply sound organizational practices in the development of quality criminal justice services;
- Make decisions using sound principles of management;
- Plan, organize and control change within the criminal justice system; and
- Apply selected management techniques which can result in improved criminal justice system performance.

III. ACHIEVING COURSE GOALS AND OBJECTIVES: THE INSTRUCTIONAL APPROACH

- A. Lecture
- B. Individual and Group Exercises
- C. The Case Study

IV. THE MANAGEMENT PROCESS

The General Planning Process Model (Visual 1-6), the product of the Planning Course, serves as the conceptual framework for the Management Process Chart (Visual 1-7).

V. THE THREE ROLES OF THE CRIMINAL JUSTICE ADMINISTRATOR

A. Director of an Organizational Unit

- Direct line authority and control traditionally associated with the management function.

B. Manager of Programs

- Limited managerial authority over a "set of related efforts, under a common, general authority designed to address a particular problem."

C. Leader in the Criminal Justice System

• No "managerial" authority, but of great importance to criminal justice system.

VI. MANAGEMENT RESPONSIBILITIES OF THE CRIMINAL JUSTICE ADMINISTRATOR

A. Introduction

Definitions:

1. Planning: The orderly, systematic and continuous process of bringing anticipations of the future to bear on current decision-making.

2. Organizing: Establishing a framework in which the results developed during the planning can be achieved.

3. Controlling: Insuring that the results established during planning are achieved to the greatest extent possible.

B. Relationship to the Three Roles of the Criminal Justice Administrator

See Visual 1-8.

1. Director of an Organizational Unit

a. Planning for optimum organizational performance.

b. Organizing to create an organizational framework and environment best equipped to achieve agency results.

c. Controlling to insure that agency objectives are achieved.

2. Manager of Programs

a. Planning for positive programmatic impact.

MANAGEMENT RESPONSIBILITIES OF THE CRIMINAL JUSTICE ADMINISTRATOR

ROLE RESPONSIBILITY	DIRECTOR OF ORGANIZATIONAL UNIT	MANAGER OF PROGRAMS	LEADER IN CJ SYSTEM
PLANNING	OPTIMUM ORGANIZATIONAL PERFORMANCE	POSITIVE PROGRAMMATIC IMPACT	CONSTRUCTIVE INFLUENCE
ORGANIZING	CREATE ORGANIZATIONAL FRAMEWORK AND ENVIRONMENT BEST EQUIPPED TO ACHIEVE OBJECTIVES	DEVELOP CAPACITY IN EXTERNAL AGENCIES TO SUCCESSFULLY IMPLEMENT PROGRAMS/PROJECTS	PROFESSIONAL GROUPS, CONSTITUENCIES, PR EFFORTS, ADVOCACY ACTIVITIES, ETC., REQUIRED TO CONTRIBUTE TO SUBSTANTIVE CHANGE IN CJ SYSTEM
CONTROLLING	INSURE OBJECTIVES ARE ACHIEVED	INSURE PROGRAM OBJECTIVES ARE ACHIEVED INSURE TA IS PROPERLY PROVIDED	EVALUATE IMPACT OF AGENCY ON ITS ENVIRONMENTS AND VICE VERSA

I-10

b. Organizing to develop a capacity in external agencies to successfully implement criminal justice programs.

c. Controlling to insure that (1) program goals and objectives are achieved, (2) technical assistance is properly provided, and (3) evaluations are timely, relevant, and used.

3. Leader in the Criminal Justice System

a. Planning for constructive influence, e.g., developing a specific plan concerning the development of community-organized and -run crime prevention teams.

b. Organizing

(1) Constituencies, e.g., a task force to advocate increased state-level funding support for community crime prevention programs.

(2) Public information efforts, e.g., promulgating information about the need for state funding of community crime prevention teams.

(3) "Advocacy" activities, e.g., coordinating efforts to directly inform state legislators of the need for state funding of community crime prevention programs.

(4) Other relevant activities in this area that contribute to substantive change in the criminal justice system.

c. Controlling to evaluate the impact of the criminal justice agency

or organizational unit on its environments and vice versa.

4. Summary

o Various functions performed by the criminal justice administrator in each of the three roles potentially can impact activities in the other two roles.

o Each role can impact the other two.

No role exists in a vacuum

VII. POWER AND THE CRIMINAL JUSTICE ADMINISTRATOR

The criminal justice administrator utilizes different types and sources of power as he or she moves between and among the three roles.

A. Types of Power

1. Reward Power is based on the number of positive rewards that people perceive that a manager or leader can muster.

2. Coercive Power is based on the perceived expectations of people that punishment will follow if one does not comply with the aims of the manager or leader.

3. Legitimate Power is based on internalized values that dictate that a leader or manager has a legitimate right to influence people, activities and events and that this influence should be accepted.

4. Referent Power is based on the identification of subordinates or potential followers with the manager or leader and with what the manager or leader stands for.

5. Expert Power results from a manager or leader having recognized expertise or knowledge in an area that the manager or leader wants to influence.

B. Sources of Power - The five types of power can come from two sources:

1. Ascribed Power is possessed by a manager or leader by virtue of the position(s) that individual holds.

2. Achieved Power is possessed by a manager or leader by virtue of the personal respect and deference that individual receives from others based on any past performance, activities and accomplishments.

3. Types of Ascribed Power are:

- a. Reward
- b. Coercive
- c. Legitimate

4. Types of Achieved Power are:

- a. Legitimate
- b. Referent
- c. Expert

The way in which power is used depends on the:

- o Credibility of the power holder,
- o Personality of the power holder, and
- o The Situation.

Power and the Roles of the Criminal
Justice Administrator

Refer to Visual 1-9.

1. Director

a. Ascribed:

b. Achieved:

2. Manager of Programs

a. Ascribed:

b. Achieved:

3. Leader in the Criminal Justice
System

a. Ascribed:

b. Achieved

NOTES

SOURCES OF POWER AND THE ROLES OF THE CRIMINAL JUSTICE ADMINISTRATOR

POWER SOURCE \ ROLE	DIRECTOR OF ORGANIZATIONAL UNIT	MANAGER OF PROGRAMS	LEADER IN CJ SYSTEM
ASCRIBED	POTENTIALLY AVAILABLE AND USEFUL	POTENTIALLY AVAILABLE BUT LIMITED UTILITY	NOT AVAILABLE
ACHIEVED	POTENTIALLY AVAILABLE AND USEFUL	POTENTIALLY AVAILABLE AND USEFUL	POTENTIALLY AVAILABLE AND USEFUL

I-15

CASE STUDY EPISODE ONE: LIFE AS A CRIMINAL JUSTICE ADMINISTRATOR
(GROUP EXERCISE)

Introduction

The everyday world of criminal justice administrators is quite a contrast to the average classroom setting in which they are taught how to be more effective in their jobs. The tasks they perform are usually multi-faceted and quite complex. The situations they confront are seldom as simple and clear-cut as one would desire. Often irrational, subjective factors have a tremendous impact on the actions of criminal justice administrators, despite their most conscientious efforts to create a rational, objective approach to performing their responsibilities. This course attempts to teach criminal justice administrators how to cope more successfully with this complex environment. Inevitably, most of the management techniques taught in such a course will appear somewhat simplistic when initially addressed in the classroom setting. This case study is therefore intended to more closely approximate the diverse and frequently complicated milieu in which criminal justice administrators operate. In this context, the potential utility of the concepts and techniques presented in the course will be demonstrated and/or reinforced.

The setting for the case study is Gotham City and Payneless County, which are located in the State of Misery. Gotham City is the county seat of Payneless County, and is in fact the only incorporated jurisdiction in the county. Gotham City has a population of 100,210. Payneless County, whose unincorporated area outside Gotham City serves, to a great extent, as a sprawling "bedroom community" for Gotham City, has a population of just over a quarter of a million. The focus of the case study is the criminal justice planning agency that operates in Gotham City and Payneless County. This planning agency is beset by many of the same problems that affect other criminal justice planning agencies:

A rapid increase in crime, vicious local politics, and a certain degree of intra-organizational strife. The case study will follow this planning agency from the demise of one director through the installation and first year of a new director. During this period, both directors will encounter the challenges and perils inherent in performing the three roles of the criminal justice administrator that are addressed in this course. Course participants will share the "trials and tribulations" of the two directors. In the core exercises of the case study participants will directly apply the concepts and techniques taught in the course to analyzing and formulating ways for dealing with the various situations in which the directors find themselves. In Episode One, emphasis will be on the application of information concerning the key concepts of "roles" and "power".

VIII. CONCLUSION

A. Management Process Chart as Schematic Guide for CourseB. Three Roles of Criminal Justice Administrator

1. Director of Organizational

Unit

2. Manager of Programs

3. Leader in the Criminal

Justice System

C. Three Management Responsibilities

1. Planning

2. Organizing

3. Controlling

D. Five Types of Power

1. Reward

2. Coercive

3. Legitimate

4. Referent

5. Expert

E. Two Sources of Power

1. Ascribed

2. Achieved

MODULE ONE TEXT

The theme of this course centers on the three roles played by the criminal justice administrator: Director of an Organizational Unit, Manager of Programs, and Leader in the Criminal Justice system. To our knowledge, this theoretical construct for dealing with the topic of criminal justice management is unique. Consequently, citing books and articles that reflect this point of view is most difficult. The books and articles cited on the following pages present, for the most part, information that supports one or more of the roles.

Throughout this course, the manner in which criminal justice administrators function in their respective roles is discussed. The article that follows provides an opportunity for participants to gain greater insight into their personal approaches to acting in the managerial environment. It builds a theoretical framework that is compatible with the "Change Agent Questionnaire" presented in Module Two. Participants who are interested in pursuing the Change Agent concept into broader management application will find this article and its included self-assessment exercise useful.

Annotated Bibliography

1. Title: The Public Administrator as Policy Advocate
Author: Nancy G. Moore
Source: Public Administration Review, September-October, 1978, pp. 463-468.

In each of the three roles played by the criminal justice administrator he or she is at times placed in the position of needing to advocate a change in existing policy. This article explores the tremendous institutional pressures that can limit the potential effectiveness of a criminal justice administrator in functioning in the leadership role. It points out the very real "perils" that can be present in trying to impact the process of change.

2. Title: Police Manager - Professional Leadership Skills, 2nd Edition
Author: R. G. Lynch
Source: Holbrook Press, 1978, p. 16

This book includes an overview of the management process and the history and philosophy of management, particularly police management. The focus of the work is the role of director of an organizational unit. However, Lynch does allude to the need to play a leadership role. The organizational environment facing criminal justice managers is discussed in relation to management techniques. Maslow's Hierarchy of Needs, Herzberg's Motivation-Hygiene Theory, Douglas McGregor's Theory X and Theory Y, and the Likert Management Systems are reviewed to provide a framework against which criminal justice managers may analyze and understand their own organizational behavior. Of special interest to criminal justice administrators should be the final section which deals with the organizational development process. Issues such as foundations for organizational development, management of team building, and the use of rational and psychological principles in bringing about organizational developments are discussed.

3. Title: Changing Police Leadership - Reactive to Anticipatory, Top to Bottom
Author: D. T. Shanahan
Source: Tenth Annual Interagency Workshop-Proceedings, 1975, p. 117

Of particular interest in this work is the discussion of the limits on the power of law enforcement administrators to create change. Also discussed are strategies for compensating for this lack of power.

4. Title: Management is Management is Management...(Or Is It?)
Author: Eleanor Laudicina
Source: Public Administration Review, March-April, 1978, pp. 193-196

This article reviews several major books that explore various public and private sector management approaches. The author describes several issues concerning the applicability of business management

principles to government agencies, and reaches some interesting conclusions in this area. This examination provides an interesting framework for viewing the limitations of power in the roles of the criminal justice administrator.

5. Title: Changing Nature of Police Management - Theory in Transition
Author: K. R. McCreedy
Source: Sage Publications, Inc., 1978, p. 44

This work describes the management milieu of law enforcement. It discusses many of the concepts used in this course as they directly relate to law enforcement, especially those aspects of external and internal variable analysis. Police departments have traditionally adopted a paramilitary style of organization and management, and police managers have emerged because of operational crises rather than because of their managerial competence. There is a theoretical dilemma involved in the position of police manager--they can be seen as public servants subject to political processes or as professional administrators. Variations of approaches to practical management problems arising from this dilemma are discussed. These include scientific management, human behavior management and the management principles approach, which are concerned respectively with individual actions, group dynamics and processes. Systems theory provides a broader perspective than any of these approaches since it is concerned with structural relationships and interdependence rather than with the attributes of a system's components. However, the manager's conception of the total system can be influenced by organizational aspects such as power, authority and responsibility, which are also discussed.

6. Title: Managing of Police Organizations, 2nd Edition
Author: P. M. Whisenand and R. F. Ferguson
Source: Prentice-Hall, 1978, p. 65

The police role, including internal and external responsibilities, is examined. The police manager's role and responsibility is defined in terms of the basic conditions that create the need for a new kind of police manager, and demand responsibility for role performance. Managers act to achieve results, and these are attained in compliance with a set of values. Various management systems and value systems are discussed. Internal responsibilities considered in the text include: organizational theory approaches, leadership styles and assessment and selection of leaders, planning and the establishment of goals, communication devices, channels and systems, and the use of power, authority and influence for controlling. Decisionmaking and budgeting are also discussed. Internal discipline and job enrichment are also examined under internal responsibilities. The section of the text dealing with external responsibilities considers the politics of managing, police and community relations, and future implications for police management.

Resource Bibliography

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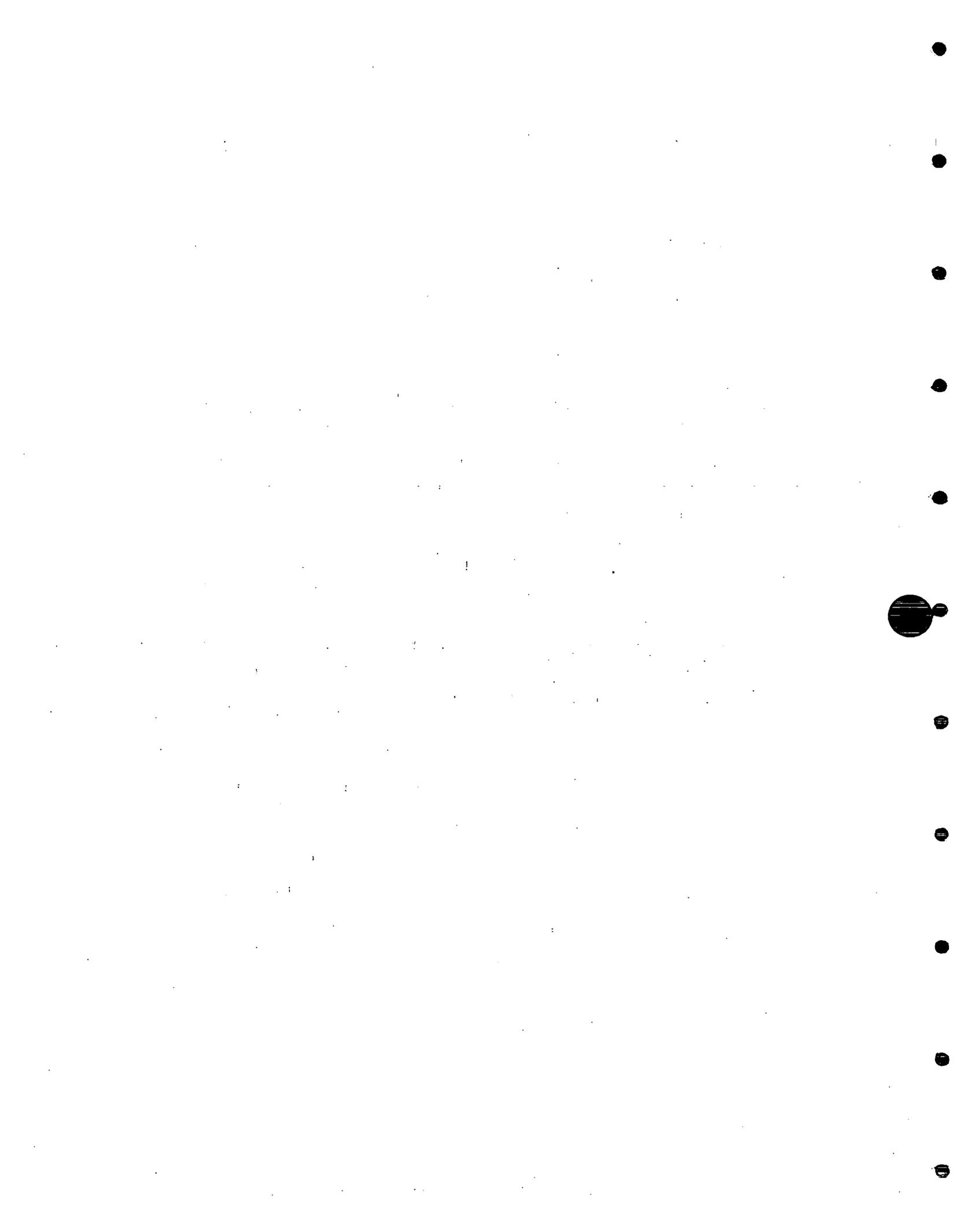
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MODULE TWO

THE CRIMINAL JUSTICE ADMINISTRATOR

AND THE

PLANNING PROCESS



MODULE TWO

THE CRIMINAL JUSTICE ADMINISTRATOR AND THE
PLANNING PROCESS

Module Overview

This Module describes the important decision points for a criminal justice administrator in normative, strategic and operational planning, and provides instruction in techniques to perform the three.

Learning Objectives

At the completion of this Module, the participants should be able to:

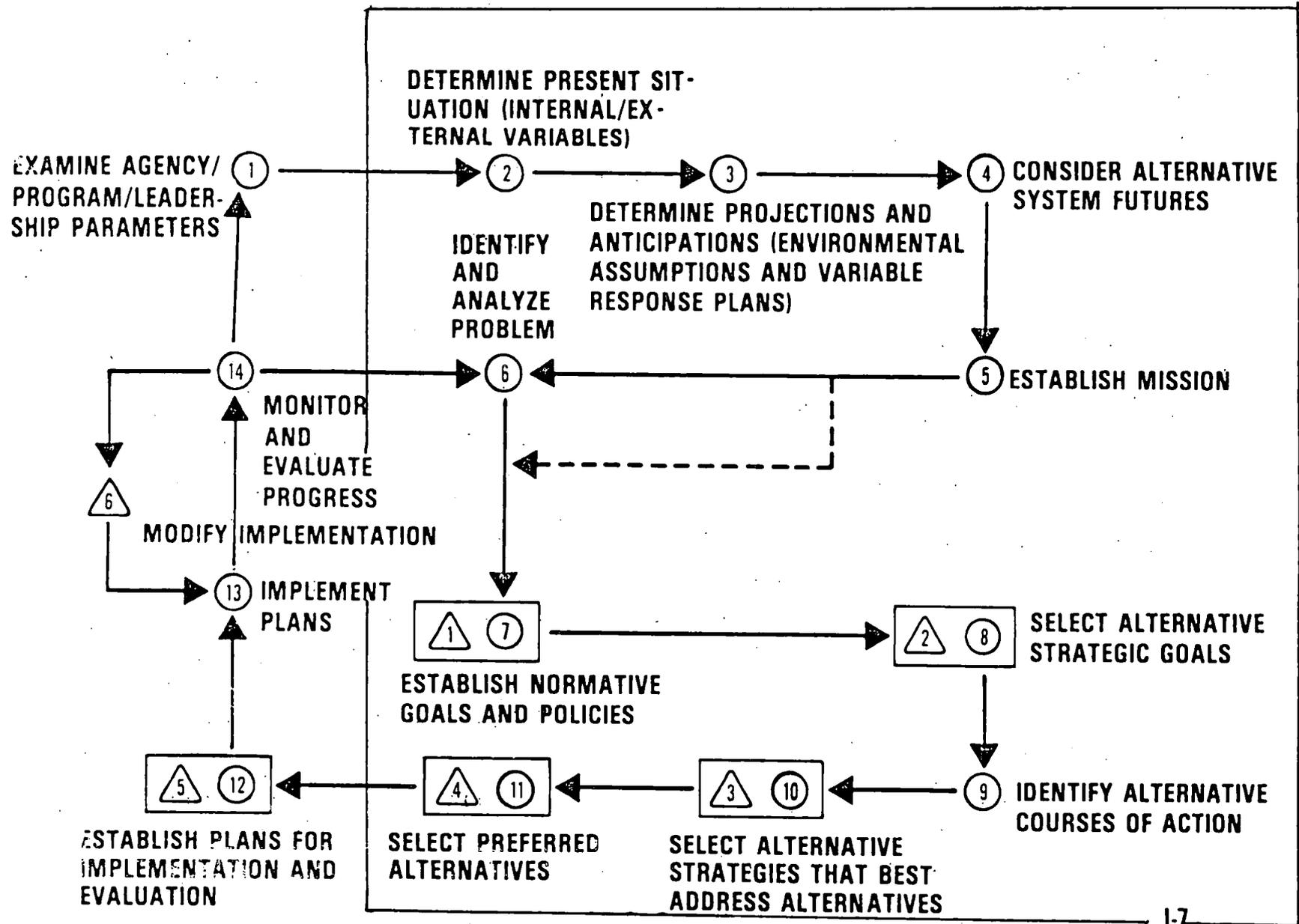
1. Explain how the levels of planning relate to the performance of the three roles of the criminal justice administrator.
2. Describe the involvement of the criminal justice administrator in Normative, Strategic, and Operational Planning and how all three levels relate to the criminal justice administrator's roles.
3. Use decision packages in making normative, strategic, and operational goal decisions.
4. Explain how various techniques can be used to address resource allocation issues both within the criminal justice administrator's agency and in dealing with other agencies and organizations administering criminal justice programs and activities.
5. Apply behavioral analysis techniques to identify appropriate methods for conceptualizing individual strengths and weaknesses.
6. Explain the potential impact of the criminal justice administrator as a "change agent" within the criminal justice system.
7. Explain the potential impact of the criminal justice administrator in various types of conflict situations.

Description

This Module consists of:

1. A lecture
2. Individual desk exercises
3. Group workshops

MANAGEMENT PROCESS



II-3

This Module addresses the aspect(s) of the Management Process Chart that is (are) highlighted

I. DEFINITIONS AND OVERVIEW

A. The Management Process -

Management is a process with the three interlocking components of planning, organizing, and controlling. It is schematically represented by the Management Process Chart.

B. Benefits of Planning

1. Helps administrators achieve what they want to achieve.
2. Framework for identifying opportunities.
3. Optimize risk-taking.
4. Effective use of limited resources to achieve most important objectives.
5. Crisis prevention.

C. Levels of Planning

1. Normative
 - o What should we do and why?
 - o Situation Analysis - a 5-step process:
 - Assess External Variables
 - Assess Internal Variables
 - Develop Environmental Assumptions
 - Categorize Variables
 - Variable Response Plans
 - o Missions and goals

II. THE SITUATION ANALYSIS: STEP ONE IN
NORMATIVE PLANNING

A. Introduction

Five-step process:

- Assessing External Variables
- Assessing Internal Variables
- Developing Environmental

Assumptions

- Variable Categorization
- Variable Response Plans

B. Assessing Internal Variables

- Criminal justice administrators

must be aware of strengths and weaknesses of
resources at their disposal.

1. Talent Constraints

- a. Director of Organizational

Unit

- b. Manager of Programs

- c. Leader in Criminal Justice

System

2. Time Constraints

- a. Director of Organizational

Unit

- b. Manager of Programs

- c. Leader in Criminal Justice

System

3. Fiscal constraints

- a. Director of Organizational

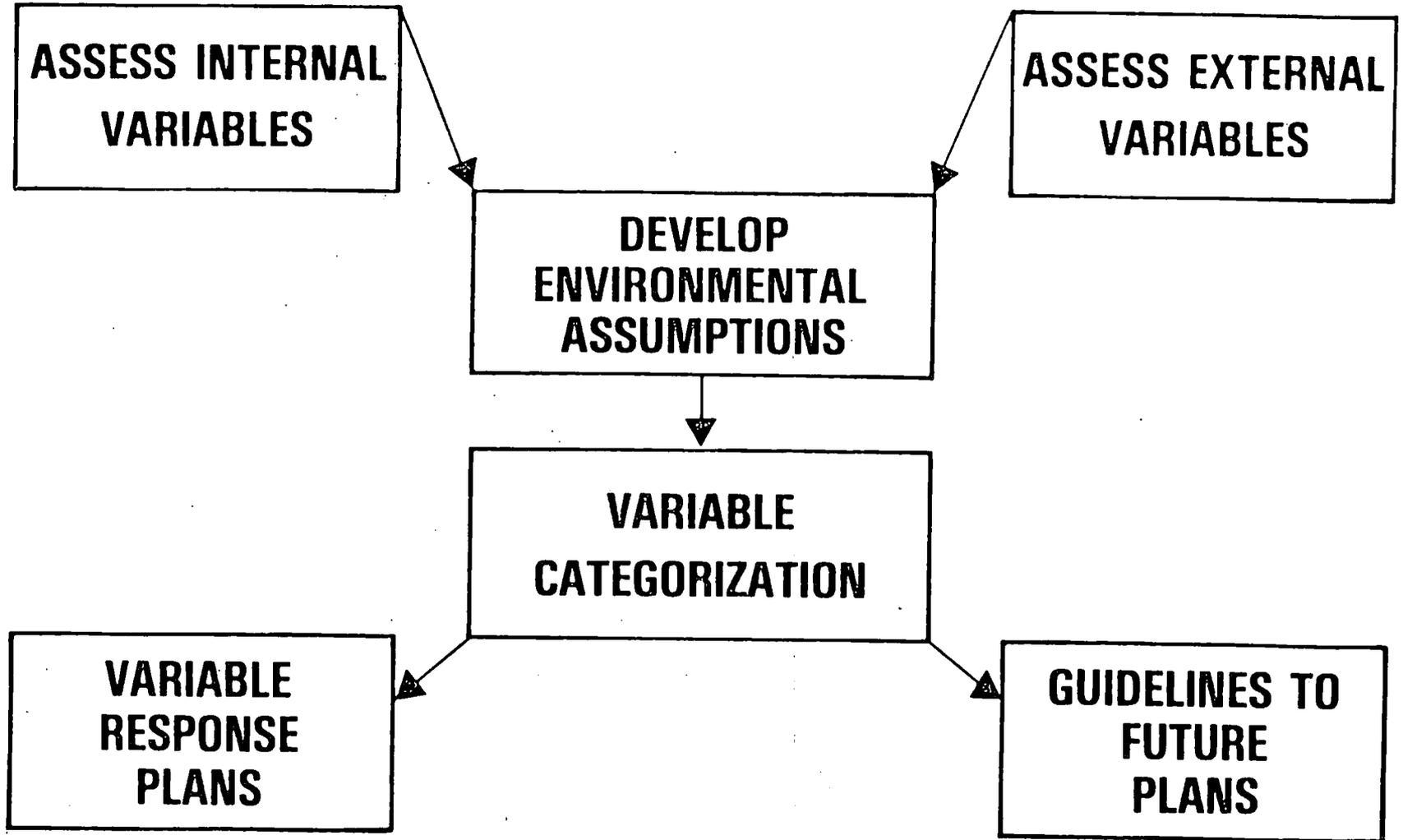
Unit

- b. Manager of Programs

- c. Leader in Criminal Justice

System

SITUATION ANALYSIS



9-II

C. Assessing External Variables

- Influential, environmental forces beyond control of criminal justice administrator.

1. Political variable

- a. Director of Organizational Unit
- b. Manager of Programs
- c. Leader in Criminal Justice System

2. Economic Variable

- a. Director of Organizational Unit
- b. Manager of Programs
- c. Leader in Crime Justice System

D. Developing Environmental Assumptions

- Best guess about exact impact (positive or negative) of an important environmental variable on agency/program/activities

- Tool for logically describing both the internal and external variables identified in the first two steps

- Begin to define limits within which administrator must function

• Examples

1. Director of Organizational Unit

By September 30, 1980, rising fuel costs will reduce by one-third the number of person-days that can be spent in travel to conduct agency business.

2. Manager of Programs

By September 30, 1980, funds for correctional programs will be reduced by 25% resulting in at least ten fewer correctional projects for Fiscal Year 1980-1981.

3. Leader in Criminal Justice System

By September 30, 1980, economic constraints will result in the state legislature not appropriating monies for a victim compensation program.

- Environmental Assumptions define the baseline data to be used in the planning process.

E. Variable Categorization

- Further refinement of that data that has been amassed, assessed and developed into Environmental Assumptions.

- Refer to Variable Categorization Form.

- A listing of Environmental Assumptions over which the administrator does and does not have direct control.

- Examples

1. Variable

Low salaries for professional SPA personnel.

2. Environmental Assumption

tion

By July 1, 1980, low salaries for professional SPA personnel will result in an all-time high turnover

VARIABLE CATEGORIZATION FORM

INSTRUCTIONS: In an attempt to determine which assumptions are and are not under the direct control of the administrator, the assumptions you have developed are listed in the appropriate column.

Assumptions Under Direct Control of
Criminal Justice Administrator

Assumptions Not Under Direct Control of
Criminal Justice Administrator

rate of 40% for professional SPA personnel

NOTES

3. Variable Categorization

Not under direct control
of criminal justice administrator

F. Variable Response Plans

- Variables listed as not being within the direct control of the criminal justice administrator are dealt with at this step.

- Even though the administrator does not have direct control over certain assumptions, there are generally strategies that that individual can implement to help neutralize potentially damaging assumptions and help capitalize on potentially beneficial assumptions.

- Refer to completed Variable Response Plan.

G. Conclusion

Situation Analysis

- Assess External Variables
- Assess Internal Variables
- Develop Environmental

Assumptions

- Variable Categorization
- Variable Response Plan

CASE STUDY EPISODE TWO: ENTER THE NEW DIRECTOR (GROUP EXERCISE)

VARIABLE RESPONSE PLAN

Variable:

Strategy for Utilizing/Neutralizing:

II-11

ACTIVITY	PERSON RESPONSIBLE	DATE DUE	VERIFICATION
1.			
2.			
3.			
4.			
5.			

Go/No Go

Date:

Implementation Decision:

Result:

VARIABLE RESPONSE PLAN

Variable: Low salaries for professional SPA personnel

Strategy for Utilizing/Neutralizing: Provide State Legislature with information that will demonstrate the impact that low salaries are having on the SPA

II-12

ACTIVITY	PERSON RESPONSIBLE	DATE DUE	VERIFICATION
1. Request an audit by State Personnel of SPA positions	SPA Director	7/1/80	Official Request
2. Monitor progress of personnel audit	Assistant Planning Director	Ongoing to 9/1/80	Monitoring Report
3. Receive copy of State Personnel Audit Report	SPA Director	9/10/80	State Personnel Report
4. Collect data on salaries for commensurate SPA positions in 50 states	Assistant Planning Director	8/1/80	Data from 50 states
5. Compile data on other state salaries into a report	Planning Director	9/1/80	State Salaries' Report
6. Provide joint budget committee with 2 salary documents	SPA Director	9/15/80	Minutes of Joint Budget Commission Meeting

Go/No Go Date: 6/1/80

Implementation Decision: Go

Result: State Legislature agree to review potential problem during budget consideration

III. BEHAVIORAL ASSESSMENT

A. Introduction

Importance to the criminal justice administrator of understanding behavioral strengths and weaknesses of staff.

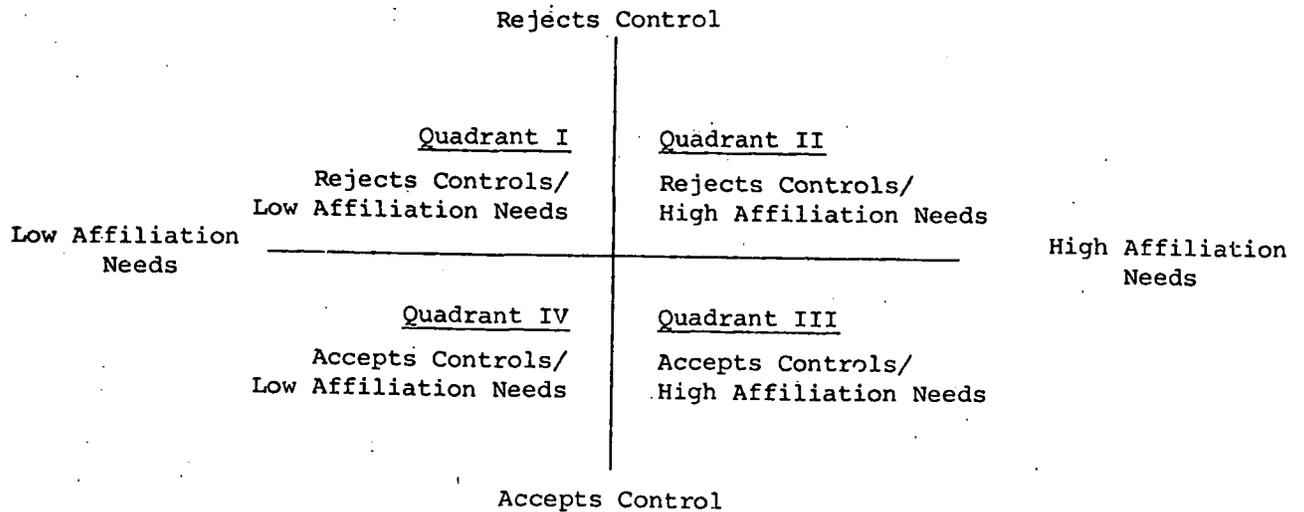
B. Administration of Interpersonal Checklist

C. Theory Overview

"Shorthand" method to gain a greater understanding of one's behavioral tendencies and the tendencies of others.

D. The Organizational Personality

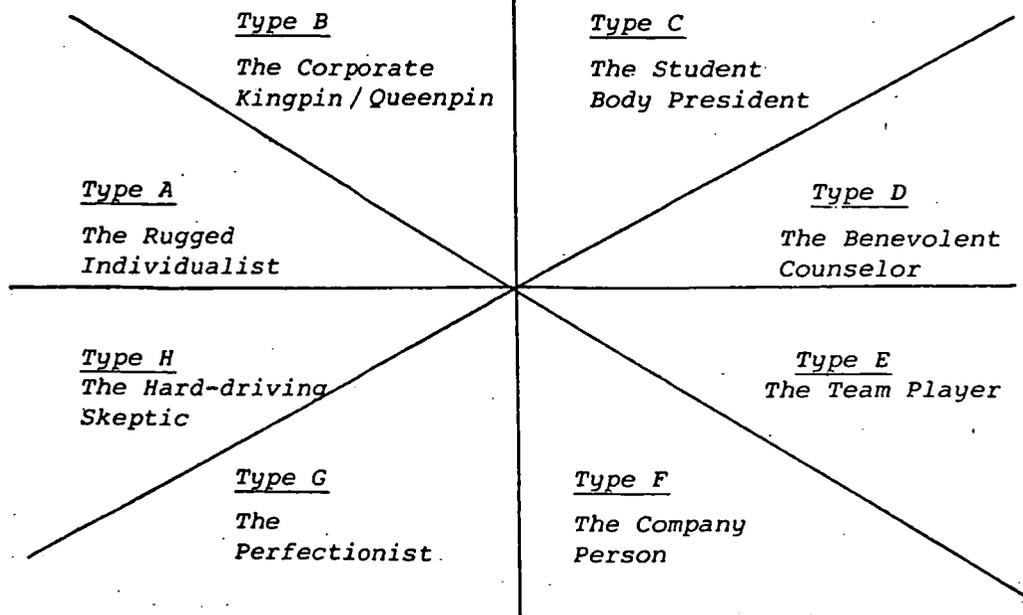
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E. Scoring the Interpersonal Checklist

NOTES

F. Style Descriptors



1. Type A - The Rugged Individualist

- Hard-driving, tough, fair, self-demanding

- Impatient, outspoken, self-seeking, not a team player

2. Type B - The Corporate King or Queenpin

- Assertive, self-sufficient, self-confident, great force of character

- Self-centered, dislikes detail, unconcerned about others

3. Type C - The Student Body President

- Optimistic, assumes responsibility, admired, interested in and gets things done through others

- Overly optimistic and self-confident, terrible with details, too bossy and controlling

4. Type D - The Benevolent Counselor

- Considerate, firm in own convictions, unselfish, friendly, respects others

- Ineffective under pressure, not demanding enough, overly protective

5. Type E - The Team Player

- Cooperative, poised, friendly, seeks others' approval

- Easily exploited, ineffective under pressure, a talker rather than a doer

6. Type F - The Company Person

- Conservative, deliberate, steady, appreciative, eager to please

- Gullible, too dependent and sensitive, lets others make decisions

7. Type G - The Perfectionist

- Accurate, persistent, modest, dislikes conflict

- At times indecisive, shy, may lack self-confidence, unwilling to interact with others

8. Type H - The Hard-Driving Skeptic

- Detail-person, hard worker, achiever, has high standards

- Hard to impress, finds it hard to make decisions, projects gloomy attitude, uncomfortable interacting with and managing others

G. Implications for the Criminal Justice Administrator

1. Interaction of Types

- "Neighbors" get along best
- Danger in getting an organization "overloaded" with too many individuals of "like" or "neighboring" types

- Opposites get along worst

2. Importance of all types

- Each type has assets to add to an organization and liabilities that must be counterbalanced by other types.

3. Use of Types

4. Conclusion

- Although it is virtually impossible to ever totally predict any aspect of human behavior, the "tendencies" identified in this segment can be a useful guide to criminal justice administrators in better understanding how individuals respond to a

variety of phenomena.

- Knowledge of personality types should be used as a guide, not as a tool for stereotyping.

NOTES

IV. STEP TWO IN NORMATIVE PLANNING:
ESTABLISHING FOCI FOR ORGANIZATION,
PROGRAM AND LEADERSHIP EFFORTS

- This step builds upon the knowledge gained from the Situation Analysis.

A. Phase One: Establishing Organizational and Personal Missions

- Step 5 in the Management Process Chart

- Mission defined - "An enduring goal of an organization that gives it a reason to exist"

- Examples

- Organizational Mission:

The mission of the State Planning Agency is to provide financial and technical assistance to agencies, groups and individuals to contribute to improving the administration of criminal justice in this state.

- Personal Mission:

My mission as an administrator in the criminal justice system is to exercise authority and influence in performing the roles of director of an organizational unit, manager of programs, and leader in the criminal justice system in order to have the greatest positive impact possible in reducing the rate and cost of crime.

The importance of a mission cannot be overstated.

NOTES

o Criminal justice administrator should be aware of the importance of a clearly defined mission, and should strive in each of the three roles to insure that the organizations with which that administrator is involved establish and use mission statements appropriately.

B. Phase Two: Developing and Selecting Normative Goals

o Mission statement helps establish general operating boundaries, but not specific enough to define the course(s) of action to take within those parameters.

o Example Mission for Youthful Offender Program:

"The Mission of the Youthful Offender XYZ Program is to enhance the capability of those agencies and institutions serving adjudicated youthful offenders ages 16-21 years to achieve greater success in assisting these clients to prepare to lead non-criminal lives."

1. The next step is to establish normative goals as a guide to decision-making.

a. Definition - "Outcomes to be achieved, usually general and not time limited."

b. Normative Goals indicate which phenomena within the boundaries established by the mission should be addressed

2. Goals systematically derived from understanding of problem and community interests result in better policies and programs.

3. Existing primary and secondary data bases sometimes are a good source of answers to a given problem.

4. Frequently, issues spring not from data bases but from community "concerns." The usual excess of concerns to available resources requires critical, logical staffwork to identify only legitimate concerns. A procedure for this identification might be:

- a. Clearly state the concern.
- b. Specify the nature and source of the concern.
- c. Determine the scope of the concern.

If a concern then warrants further consideration, it should be analyzed to:

- Specify the problem
- Collect relevant data
- Interpret findings
- Draw conclusions
- Prepare a problem statement

5. Primary product of problem analysis is Problem Statement -- see Exhibit 2-2 and Text.

6. Criteria to assess adequacy of problem statements prepared by staff

- a. Comprehensiveness -- Exhibit 2-3
- b. Completeness -- Exhibit 2-4

OUTLINE OF A PROBLEM STATEMENT

PROBLEM STATEMENT: VEHICLE THEFT IN CHAOS CITY, 1977

TABLE OF CONTENTS

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 Measurement Reliability and Validity
- 2.3 Data Collection Procedures
- 2.4 Statistical Methods

3.0 Findings

- 3.1 Magnitude of Motor Vehicle Theft is Similar in Comparable Cities
- 3.2 Chaos City System Response is Different than National and State Level System Response
- 3.3 Auto Theft in Chaos City is a Less Serious Crime
- 3.4 Auto Theft Varies by Area and Location
- 3.5 Auto Thefts are Deterred by Reducing Opportunities to Steal
- 3.6 Characteristics of Motor Vehicle Theft Vary by Type of Vehicle
- 3.7 Most Suspects of Auto Theft are Amateur Thieves
- 3.8 Those Arrested for Auto Thefts are Generally Young

4.0 Discussion

- 4.1 Findings Relative to Expressed Concerns
- 4.2 Limitations

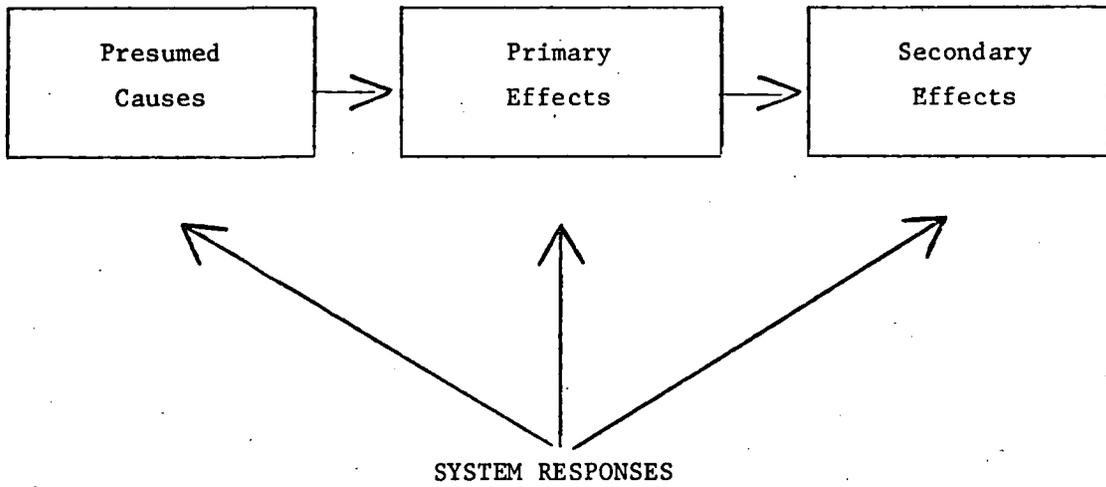
5.0 Summary

- 5.1 Highlights
- 5.2 Conclusions

CHARACTERISTICS OF A WELL-DEVELOPED PROBLEM STATEMENT

- A. NATURE OF PROBLEM: ANSWERS THE QUESTION, "WHAT KIND OF PROBLEM?"
- B. MAGNITUDE: SIZE, EXTENT, AND/OR IMPORTANCE OF PROBLEM.
- C. RATE OF CHANGE: COMPARISON OF A PROBLEM IN AN EARLIER PERIOD OF TIME TO A LATER PERIOD.
- D. SERIOUSNESS: AMOUNT OF HARM A PROBLEM INFLECTS ON A COMMUNITY OR PERSON.
- E. PERSONS AFFECTED: CONSIDERATIONS OF THE VICTIMS, OFFENDER, CRIMINAL JUSTICE PERSONNEL, AND/OR PUBLIC.
- F. SPATIAL ASPECTS: THE GEOGRAPHY OF THE PROBLEM.
- G. TEMPORAL ASPECTS: CYCLICAL NATURE OR SEASONALITY OF THE PROBLEM.
- H. SYSTEM RESPONSE ACTIVITIES, PROGRAM, AND POLICIES RELATED TO THE PROBLEM.

PRESUMED CAUSES, EFFECTS, AND SYSTEM RESPONSES



c. Technical adequacy

7. Ranking competing problem

statements

a. Develop possible criteria

for ranking. Examples:

(1) Number of people

affected

(2) Expense

(3) Duration, seriousness,

frequency

(4) Geographical scope

b. Select and weight criteria.

Examples of good criteria:

(1) Explicit

(2) Applicable to several

problem areas

(3) Information on criter-

ia is available

c. Rate and rank the set of

problem statements against the problem
statements

8. Refine normative goals in light
of substantiated problems.

9. Developing Normative Goals

● After ranking the Problem
Statements, the next step -- if not previous-
ly accomplished -- is to develop Normative
Goal Statements based on those problems that
are determined to be appropriate for potential
resource allocation.

● Example Normative Goals
for Youthful Offender Program:

- Reduce level of unem-
ployment among youthful offenders

- Provide adequate housing for youthful offenders
- Improve treatment services for youthful offenders

10. Normative Goal Decision Package

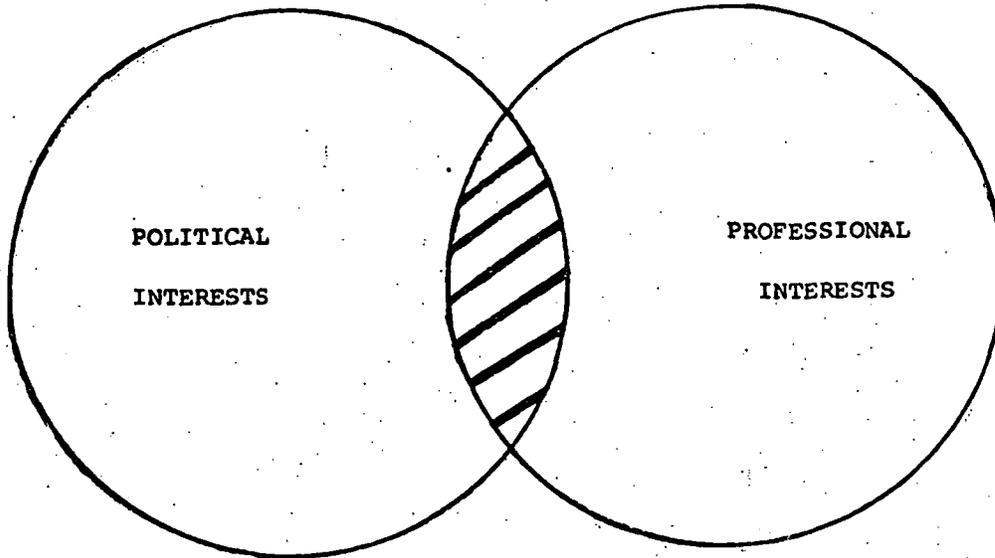
Once Normative Goals have been established and the problem statements assessed, the criminal justice administrator should require that program developers prepare Normative Goal Decision Packages such as the one shown in Exhibit 2-5. The Normative Goal Decision Package is a valuable format for deciding which Normative Goals to adopt.

CASE STUDY EPISODE THREE: A WALK THROUGH

NORMATIVE GOAL DECISION PACKAGE

- I. Problem Area
- II. Recommended Normative Goals (in priority order)*
 - A. Initial Concern (for each Normative Goal)
 - B. Summary of Analysis Findings (for each Normative Goal)

* If the analysis process indicates that the concern is not a real problem, no Normative Goal should be stated. A. and B. should be completed, however, for review by decision-maker(s).



Initial Area of Concentration in Developing Plans
for Agency or Program

V. STEP THREE: DEFINING STRATEGIC GOALS

- Strategic Planning: What can we make happen, and how?

- Determining the best approach to achieving outcomes.

- Step 8, Decision Point 2 in the Management Process Chart

A. Identifying Problem Components

- Accomplished by carefully examining Problem Statements for possible reasons why the problem exists.

Example: Important aspects of unemployment problem identified in context of XYZ Program:

1. The recent closing of the auto plant has resulted in a high unemployment rate among working individuals in the target area.

2. Most youthful offenders lack the technical training and education required to obtain the stable jobs that are available.

3. Most youthful offenders simply do not know how to identify employment opportunities that do exist and successfully pursue them.

B. Specifying Alternative Strategic Goal Options

- Alternative Strategic Goal Options are specified after important aspects are identified.

- Examples of alternative strategic goals given important aspects

NOTES

of unemployment problem identified within the context of the XYZ Program:

- Re-open auto plant
- Provide youthful offenders with technical training and/or education required to qualify them for stable jobs.
- Improve the capability of youthful offenders to identify and successfully pursue job opportunities.

C. Selecting Alternative Strategic Goals

- Before a final decision can be made concerning which alternative strategic goal should be adopted, decision-makers must more thoroughly examine what would be involved in making a potential strategic goal an operational reality.

- Criteria for determining which strategic goals should be more thoroughly examined:

- Do the Alternative Strategic Goals address comprehensively the specified cause or effect identified in the Problem Statement?

- Are the courses of action specified in the Alternative Strategic Goals consistent with the mission(s) of the contemplated implementing agency (ies)?

- Are the Alternative Strategic Goals responsive to the community concerns that may have led to the original Problem Statement?

- Do the Alternative Strategic Goals reflect any standards/goals that might be established for the problem area in question?

• Alternative Strategic Goal
Decision Package -- Exhibit 2-7

CASE STUDY EPISODE FOUR: SELECTING ALTERNATIVE STRATEGIC GOALS (TWO-PERSON TEAM EXERCISE)

ALTERNATIVE STRATEGIC GOAL DECISION PACKAGE

- A. Normative Goal
- B. Problem Summary
- C. Problem Components
- D. Alternative Strategic Goals

ALTERNATIVE STRATEGIC GOALS SELECTED

RATIONALE FOR DECISION:

VI. EXAMINING ALTERNATIVE STRATEGIC GOALS:
A COMPREHENSIVE APPROACH

To effectively select strategic goals requires the completion of some aspects of operational planning.

- The delineation of the possible strategic elements that might be involved

- Strategic element can be a project, activity(ies), legislation, etc.

- Two or more strategic elements can constitute a unified "strategy."

- A strategy is "a general course of action designed to achieve an outcome implied or specified in a Strategic Goal(s)"

- Examples of possible strategic elements to address the XYZ Program Strategic Goal of providing youthful offenders with technical training and/or education required to qualify them for jobs:

- An apprenticeship project that will provide on-the-job training for youthful offenders

- A co-op project that will provide on-the-job training reinforced by classroom training and education

- A full-time, one-year training course in diesel mechanics to qualify youthful offenders for highly-skilled jobs in the expanding trucking industry

- A full-time, one-year training course in computer programming

- A full-time, one-year training course in welding

- The above five elements could be grouped into two strategies:

NOTES

- Provide on-the-job training experience for youthful offenders (first two elements)

- Provide full-time training experience for youthful offenders (last three elements)

- Criteria for examining possible strategic elements to identify alternative strategies:

- Do the elements have common purpose or focus?

- Could they conceivably be inter-dependent?

- If implemented as components of a unified strategy, would they be complementary or competing?

A. Selecting Interim Strategies

- The Interim Strategy Decision Package (Exhibit 2-8) helps limit to the extent possible the number of alternative strategies that program developers investigate.

- Criteria for selecting interim strategies:

- Will the strategy contribute to achieving the Strategic Goal?

- Is the set of elements delineated in the Decision Package adequate to successfully implement the strategy?

- Are those elements the most appropriate ones to implement the stated strategy?

B. Selecting Preferred Strategies and Strategic Goals

- Two-step process to select strategies that are best candidates for

INTERIM STRATEGY DECISION PACKAGE

Part I

- A. Normative Goal
- B. Problem Summary
- C. Problem Components
- D. Alternative Strategic Goals

Part II

(One per Strategy)

- A. Proposed Strategic Goal
- B. Strategy Statement
- C. Potential Strategy Elements
- D. Strategy Rationale
- E. Strategy Assessment

Further Assess Strategy

Yes ___ No ___

Comments:

implementation and alternative strategic goals to be implemented.

1. Selecting Preferred Strategies

a. Developing Alternative Element Decision Packages

Components:

- (1) Synopsis of Alternative Element -- See Exhibit 2-9
- (2) Method of Rationales (Visual 2-4)

- The MOR format provides the manager with a quick overview of the alternative elements under consideration

- (3) The Element Network (See Visuals 2-5 and 2-6)

- The network describes the underlying logic of a proposed element

- A network representation can help a manager determine whether or not the developers of a strategy have outlined an approach for implementation should that strategy be selected.

b. Applying Decision Criteria

- (1) In selecting alternative elements, the administrator should be guided by five criteria:

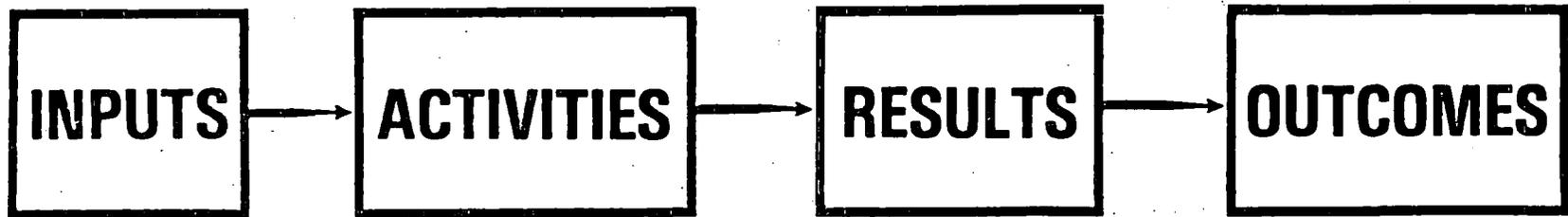
- Effectiveness: Will the proposed element contribute to achieving the specified results?

- Cost: How expensive is the proposed element? Are

SYNOPSIS OF ALTERNATIVE ELEMENT
(One synopsis per element)

- A. Strategic Goal
- B. Proposed Strategy
- C. Proposed Element
- D. Rationale for Proposed Element
- E. Objective
- F. Cost
- G. Advantages
- H. Disadvantages
- I. Description of the Element in terms of the Method of Rationales
- J. Network of the Element

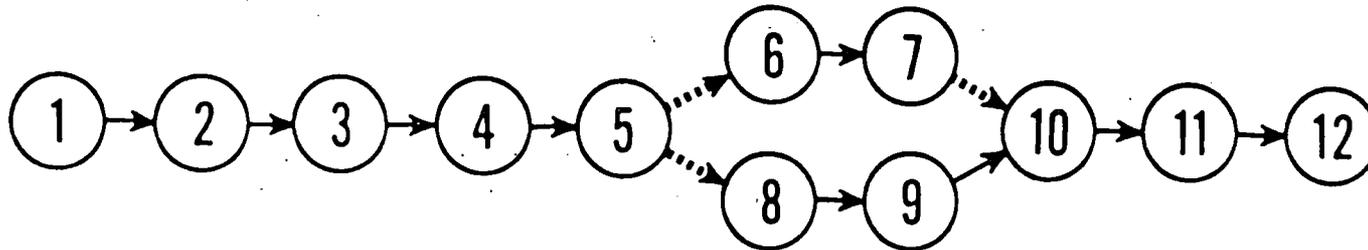
METHOD OF RATIONALES



II-37

INAPPROPRIATE NETWORK

PROJECT: COMMUNITY-BASED TREATMENT FACILITY



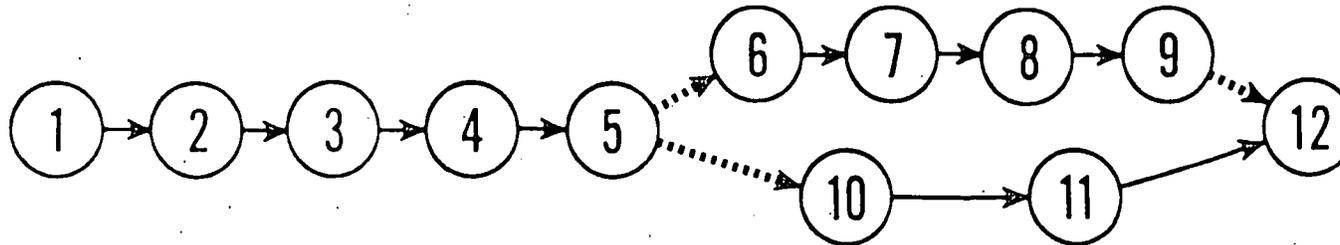
ACTIVITIES

1. START PROJECT
2. SCREEN APPLICANTS FOR DIRECTOR'S POSITION
3. HIRE DIRECTOR
4. RECRUIT STAFF MEMBERS
5. HIRE STAFF MEMBERS
6. INITIATE SEARCH FOR FACILITY
7. LEASE FACILITY
8. INITIATE STAFF TRAINING
9. COMPLETE TRAINING
10. REQUISITION SUPPLIES AND EQUIPMENT
11. RECEIVE SUPPLIES AND EQUIPMENT
12. OPEN FACILITY

2-5

APPROPRIATE NETWORK

PROJECT: COMMUNITY-BASED TREATMENT FACILITY



ACTIVITIES

1. START PROJECT
2. SCREEN APPLICANTS FOR DIRECTOR'S POSITION
3. HIRE DIRECTOR
4. INITIATE SEARCH FOR FACILITY
5. LEASE FACILITY
6. RECRUIT STAFF MEMBERS
7. HIRE STAFF MEMBERS
8. INITIATE STAFF TRAINING
9. COMPLETE TRAINING
10. REQUISITION SUPPLIES AND EQUIPMENT
11. RECEIVE SUPPLIES AND EQUIPMENT
12. OPEN FACILITY

the projected outcomes worth the cost?

- Practicality:

Can the proposed element be implemented as indicated in the network?

- Acceptability:

Is the proposed element agreeable to relevant public and political powers?

- Evaluability:

Can the contributions of the element to results and possibly outcomes be reasonably determined?

(2) Cost Analysis

Techniques

Importance of cost in era of "cutback management." Two techniques to assess cost:

(a) Benefit-

cost Analysis

- Helps determine monetary cost relationships between the inputs and activities of an element where a dollar value can be assigned to benefits.

Project A: $\frac{(\text{Benefits}) \ \$1,000,000}{(\text{Cost}) \ 200,000} = \frac{5}{1}$

Project B: $\frac{(\text{Benefits}) \ \$1,000,000}{(\text{Cost}) \ 250,000} = \frac{4}{1}$

(b) Productivity

Analysis

- Helps determine monetary cost relationships between the inputs and activities of an element where a dollar value cannot be

assigned to benefits

Project X:
$$\frac{\text{Counseling sessions conducted for 100 clients}}{\text{Cost of Inputs: } \$40,000} = \frac{100}{\$40,000} = \frac{1}{400}$$

Project Y:
$$\frac{\text{Counseling sessions conducted for 90 clients}}{\text{Cost of inputs: } \$30,000} = \frac{90}{\$30,000} = \frac{1}{333.33}$$

(3) Examining elements:

A more limited resources approach

- May not be able to invest substantial organizational resources
- Depth of analysis may need to be limited

c. Selecting Strategic Elements and Strategies

The Preferred Strategy Decision Package (Exhibit 2-10) is a useful format in which the program developer can present to the criminal justice administrator a synthesis of the examination of the elements of a proposed strategy, and how the results of that examination impact the viability of the strategy in question.

NOTES

PREFERRED STRATEGY DECISION PACKAGE

Part I

- A. Normative Goal
- B. Problem Summary
- C. Problem Components
- D. Alternative Strategic Goal(s)

Part II

(One per Strategy)

- A. Proposed Strategic Goal
- B. Strategy Statement
- C. Strategy Elements
- D. Strategy Rationale
- E. Strategy Assessment

Attachments

Attached Alternative Element Decision Packages to Support Preferred Strategy

2. Selecting Preferred Alternatives

Unit

- Director of Organizational

- Manager of Programs

- Strategic Decision Package (Exhibit 2-11)

CASE STUDY EPISODE FIVE: ASSESSING STRATEGIC ELEMENTS AND STRATEGIES (GROUP EXERCISE)

STRATEGIC DECISION PACKAGE

- A. Normative Goal
- B. Problem Summary
- C. Problem Components
- D. Alternative Strategic Goals
- E. Overview of Strategies by Strategic Goal
- F. Strategic Elements by Strategy
- G. Strategic Rationale(s)
- H. Strategic Assessments and Recommendations

Attachment(s)

Attached Part II of the Decision Package for each Preferred Strategy

VII. APPROACHES TO CREATING CHANGE

● "Change Agent Questionnaire"

A. Classification of Approaches
(Visual 2-7)

1. Concern for Adherence -

indicates the degree to which the manager or leader is concerned with the conformity of subordinates, followers or others who are the objects of the types of change the manager is trying to promote.

2. Concern for Commitment -

indicates the degree to which the manager or leader is concerned with the commitment of subordinates, followers, or others who are the objects of the types of change the manager is trying to promote.

B. Change Agent "Styles"

● Possible styles a change agent can adopt:

1. Change through Compliance is reliant upon a formal and well-defined power structure that provides the administrator rewards and punishments to gain the desired adherence to change.

2. Client-Centered Change basically assists change through compliance, as where the administrator attempts to create an environment in which subordinates can identify and make needed changes themselves.

3. Custodial Change is really a negative approach to change where the administrator remains basically passive.

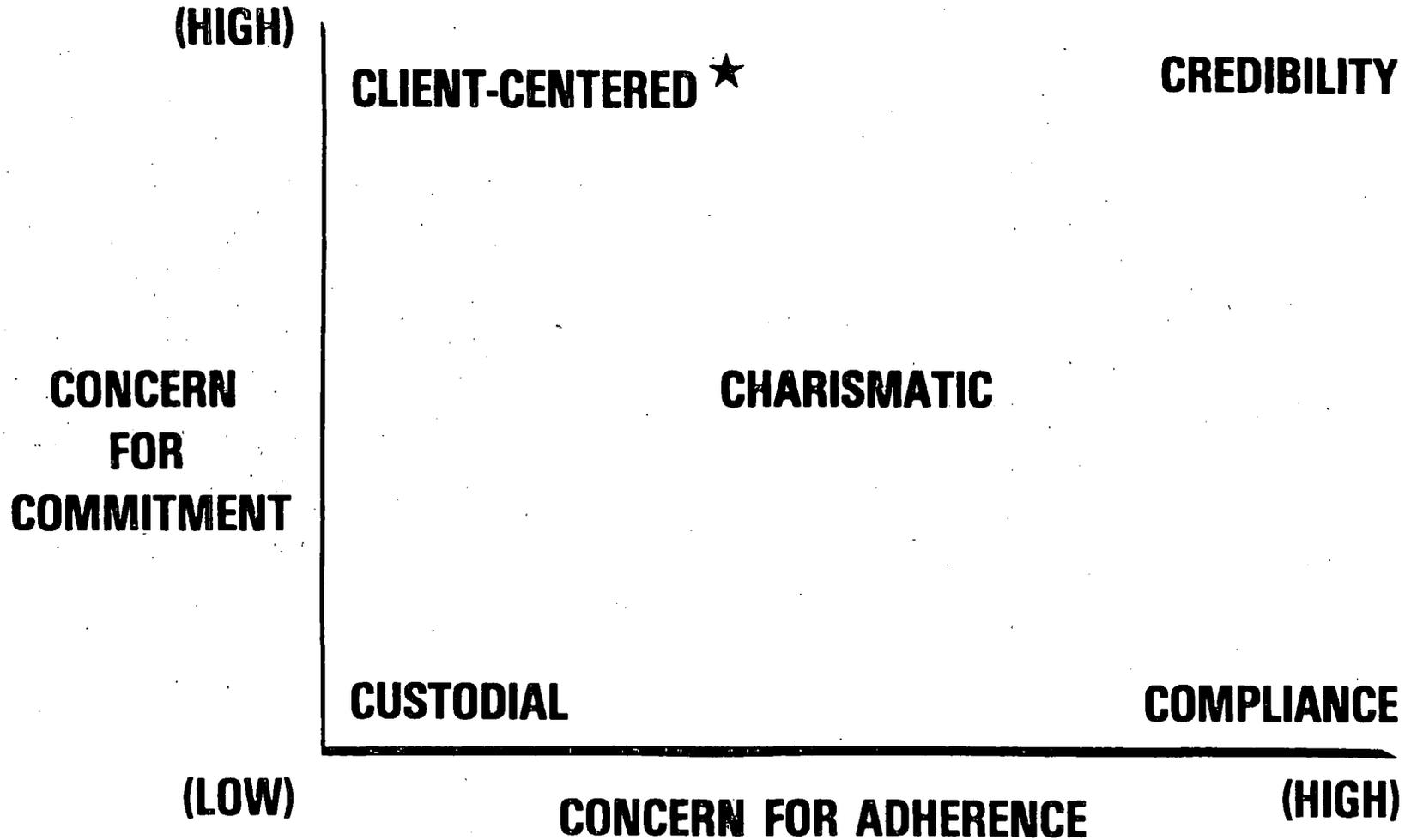
4. Charismatic Change,

heavily dependent upon the positive reputation of the administrator, is where the administrator works hard at implementing the desired change by "selling" subordinates.

5. Change through Credibility

is based on the assumption that successful change occurs when subordinates accept the need for change and agree upon the approach adopted to achieve the needed change.

CHANGE AGENT STYLES



★ "CLIENT" = SUBORDINATES, FOLLOWERS, OTHER OBJECTS OF INFLUENCE 2-7

VIII. CONFLICT RESOLUTION

NOTES

A. Need for Conflict Resolution Techniques

B. Conflict Diagnosis

1. Four stages:

a. Frustration - when someone or something is blocking one from obtaining a goal.

b. Conceptualization - when the nature and scope of the problem is defined and clarified.

c. Behavior - action stage.

d. Outcome - ultimate outcome.

2. Basic Issues

a. Facts - What is the present situation or problem?

b. Methods - What is the best way to achieve the goals?

c. Goals - How would we like things to be?

d. Values - What qualities and long-term situations do we support? Generally, disagreements over facts are easiest to resolve and disagreements over values are most difficult to resolve.

3. Underlying Factors.

a. Informational - Do the actors have access to the same or different information?

b. Perceptual - Do the actors perceive the common information differently?

c. Role - What influence do the actors' roles play in determining their respective perceptions of the situation?

4. Merits of Conflict Diagnosis

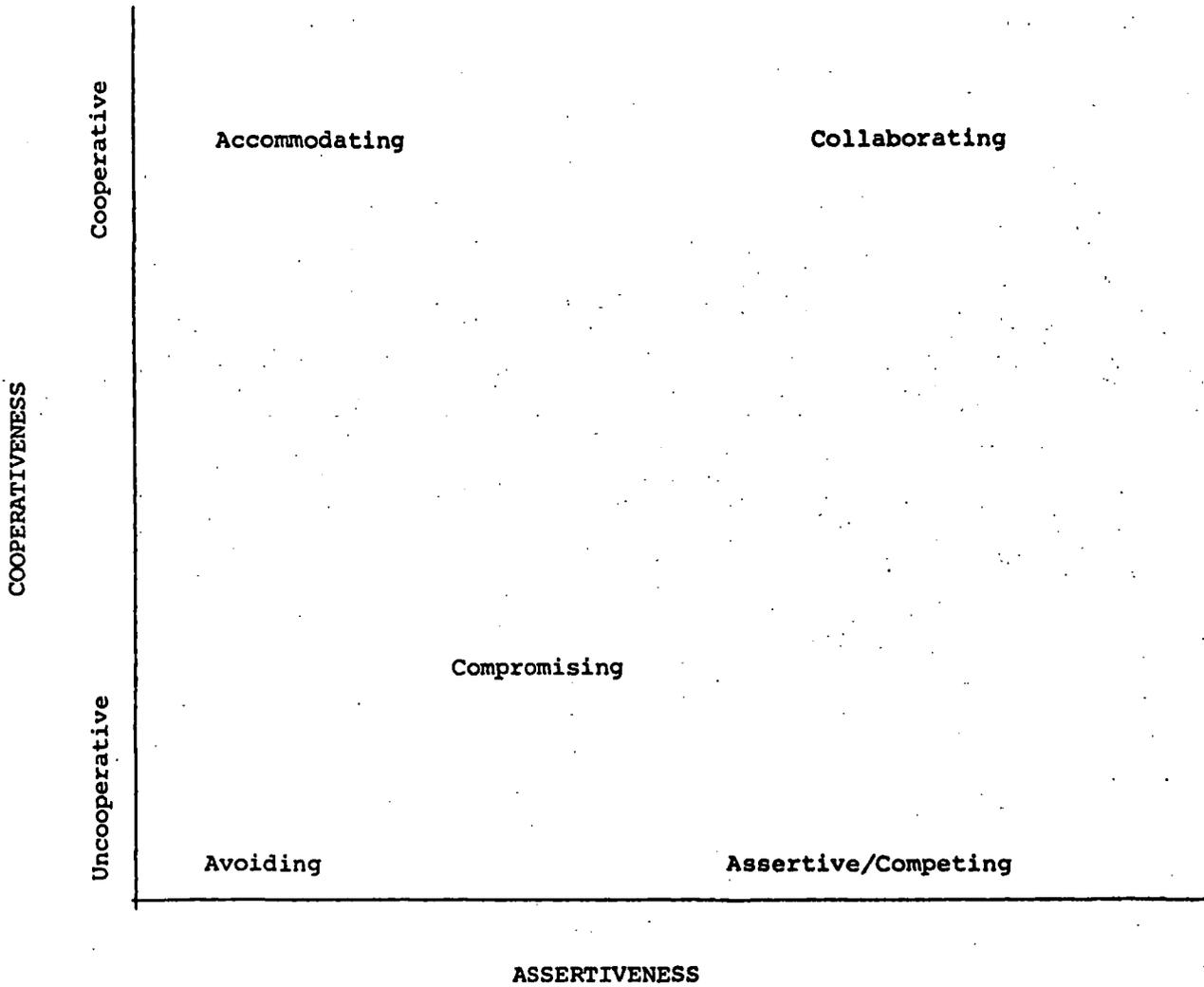
o If we understand at what stage of the conflict we are, what the conflict is about, and why the conflict arose, we are better able to deal with the true conflict and avoid petty, personal attacks.

C. Five Ways to Handle Conflict (Exhibit 2-12)

1. Assertive/Competing - Individuals in this mode go all out to win at the other's expense.

2. Accommodating - Individuals in this mode neglect their concerns in favor of the wish of the other party(ies).

WAYS OF HANDLING CONFLICT



3. Avoidance - Individuals who choose this mode remain basically passive.

4. Compromising - Individuals who choose this mode each settle for only a portion of their desired ends.

5. Collaborating - Individuals choosing this mode assume that the conflict can be most successfully resolved by a mutual decision-making process where each action recognizes the goal(s) of the other and they work together to achieve a mutually agreeable solution.

Managerial objectivity - A manager must be aware of his or her own feelings to keep them from clouding his or her response in the conflict.

D. Change and Conflict - Summary

o Change and conflict are related in that change creates some level of conflict. However, the management of change and conflict require different approaches.

IX. CONCLUSION

NOTES

A. Three Levels of Planning

1. Normative
2. Strategic
3. Operational

B. Situation Analysis

1. Assessing External Variables
2. Assessing Internal Variables
3. Developing Environmental Assumptions
4. Categorizing Variables
5. Variable Response Plans

C. Key Management Decision Points

1. Normative Goal Decision Package
2. Alternative Strategic Goal Decision Package
3. Interim Strategy Decision Package
4. Alternative Element Decision Package
5. Preferred Strategy Decision Package
6. Strategic Decision Package

D. Change and Conflict

MODULE TWO TEXT

The systematic approach to the planning segment of the management process is based exclusively on the General Planning Process Model presented in the Planning Course. This model is conceptually reflective of the PPBS, MBO and ZBB approaches to management, and many of the articles presented and cited deal with one or more of these three approaches. An area that the course could not deal extensively with is budgeting and cost-effectiveness. Accordingly, several sources are cited in these areas.

The first two articles presented in this module, "How to Avoid Glitches in Planning" and "20 Ways to Kill Management by Objectives" deal with a crucial issue in the context of the roles of a criminal justice administrator: It is far easier to discuss management techniques than it is to apply them. These two articles deal with practical considerations in this regard.

The last article, "The Purposes and Use of a Budget," addresses fundamental questions concerning the "what's" and "how's" of budgeting.

Annotated Bibliography

1. Title: Implementation and Evaporation: The Record of MBO
Author: Richard Rose
Source: Public Administration Review, January-February, 1977, p. 64-72.

This article describes the limitations and "stumbling blocks" that were encountered in attempting to implement MBO in the federal bureaucracy. Criminal justice administrators will find interesting and potentially useful the segments of the article dealing with the problems of introducing a new form of management in a governmental setting and the difficulties of meshing MBO and political realities.

2. Title: Management by Objectives
Author: D.F. Favreau and J.E. Gillespie
Source: Modern Police Administration, 1978, p. 72

Guidelines for the establishment of a management by objectives system in a law enforcement setting are presented. This work presents an in-depth analysis of the process of implementing an MBO system in a criminal justice environment. Definitions of the management by objectives approach are reviewed, and questions that organizations must answer before considering the implementation of such an approach are identified. Agencies are urged to examine the nature of their mission, their reason for existing, the extent to which they are accomplishing their mission and the roadblocks to effectiveness. The discussion then turns to ways in which management by objectives can help to solve some of the identified problems. Techniques of time-demand analysis, a problem-solving approach that stresses the re-allocation of priorities, are explained and illustrated in applications to law enforcement problems. Guidelines for formulating and writing objectives are offered, as are suggestions for implementing a management by objectives program. Sample forms and charts are presented as aids to understanding the management by objectives process and its emphasis on joint participation by superiors and subordinates.

3. Title: Lakewood Colorado - Change Agent in Police Administration and Organization
Author: P.R. Brooks
Source: Tenth Annual Interagency Workshop - Proceedings, 1975, p. 116

This work provides a case study of the problems inherent in administering change in a criminal justice environment. In 1969, when Lakewood voted to incorporate, there were no city services. The city leaders wanted a "new image" police department. The officers of the Lakewood Department of Public Safety, which became operational in early 1970, wore blazer uniforms and were called agents. Lateral-entry officers from other police agencies were required to have two years of police experience and two years of college. Recruited agents were required to have a baccalaureate degree. Civilian employees were used on a three-to-one ratio. Organizationally the

department was based on the generalist concept of team policing. Peer group supervision was another major organizational concept. Within a year, the department had become an "organizational disaster." Although there were problems related to the attitudes of other law enforcement personnel in the area and of Lakewood citizens, the major problem was organization. Change had not been planned. There had been change for the sake of change alone. The generalist concept was not working. Measures were taken to resolve the problems. Peer group supervision was eliminated and team-policing strategies were modified. The department, having made a "strategic retreat," stabilized.

4. Title: Management Systems in Criminal Justice
Author: A.R. Coffey
Source: Davis Publishing Company, 1978, p. 124

This work addresses many of the issues dealt with in the course, and presents valuable techniques and perspectives on how criminal justice administrators can best achieve their desired results. A systems model for applying management concepts to criminal justice programs is developed. Opening chapters establish criminal justice as a potentially manageable system, isolate the concept of management (i.e., management of justice as a specific task distinct from the practice of justice), and examine the value of the systems approach in the management of justice. A systems model is developed from a variety of management theories for specific application to the clarification of the managerial function, as opposed to managerial roles. Problems in the existing alignment of functions within justice organizations are examined. Application of the systems model to the management of police, probation and parole, prisons and jails, and prosecution and defense is described. The use of consultants to assist in implementing the model, the relationship between the model and political influences on justice organizations, and the importance of retaining emphasis on the outcome of managerial development are discussed.

5. Title: Analysis of the Planning Function in the Administration of a Municipal Service-Delivery Agency-Case Study, The Office of Programs and Policies in the New York City Police Department
Author: L.E. Feinberg
Source: University Microfilms, 1977, pp. 36-37

The study identifies the formal centralized planning activities of the New York Police Department (NYPD) and analyzes the relationship between these activities and existing theory and knowledge about planning. The premises on which the study rests are that an organization is a complex open system with a primary goal of survival, that planning should facilitate an organization's goal achievement efforts, and that understanding the planning process should lead to better control by management of an organization's activities and/or to modification of planning theory toward greater conformity with reality. The study addresses organizational operational constraints likely to encumber a criminal justice organization's planning activities, and a review of the growth and status of criminal justice as a system. The study emphasizes that planners and managers in police departments (and in

other service-delivery agencies) need to have a much more precise understanding of what a planning unit can and should do, whom it can serve, and the potential for abuse. A bibliography and supporting documentation are included.

6. Title: Efficiency and Effectiveness in Big-City Police Departments
Author: Wesley G. Skogan
Source: Public Administration Review, May-June, 1976, pp. 278-286

One of the greatest challenges confronting criminal justice administrators is achieving maximum efficiency and effectiveness within their organizational units and programs. This article examines the concepts of efficiency and effectiveness and how they apply to actual management of those police organizations in the U.S. that serve cities with populations of 50,000 or more. Of special interest to the criminal justice administrator will be the segments on (1) the question of "incompatibility" between efficiency and effectiveness, and (2) those operational factors found to correlate with each concept.

7. Title: The Road from ZBB
Author: Allen Schick
Source: Public Administration Review, March-April, 1978, pp. 177-180

This article provides a concise overview of the uses of zero base budgeting as a management tool. It also describes the limitations of ZBB when such a system is actually implemented in a governmental setting.

8. Title: Cost-Outcome and Cost-Effectiveness Analysis - Emerging Evaluation Techniques
Author: J.E. Sorensen and H.D. Grove
Source: Evaluating Community Mental Health Services - Principle and Practice, 1977

This work provides a realistic look at the pitfalls inherent in attempting to apply cost effectiveness analyses to public sector agencies. The problems of determining cost effectiveness in non-profit service organizations are identified, outcome measures are discussed, followed by the application of cost-outcome and effectiveness techniques to an example.

9. Title: The Zero-Base Approach to Government Budgeting
Author: Peter A. Pyhrr
Source: Public Administration Review, January-February, 1977

In this article, the author, who has been deeply involved in the ZBB approach to budgeting, presents the concept of ZBB and how it can apply in the public sector. In this context, the concept of "decision packages" is introduced and discussed.

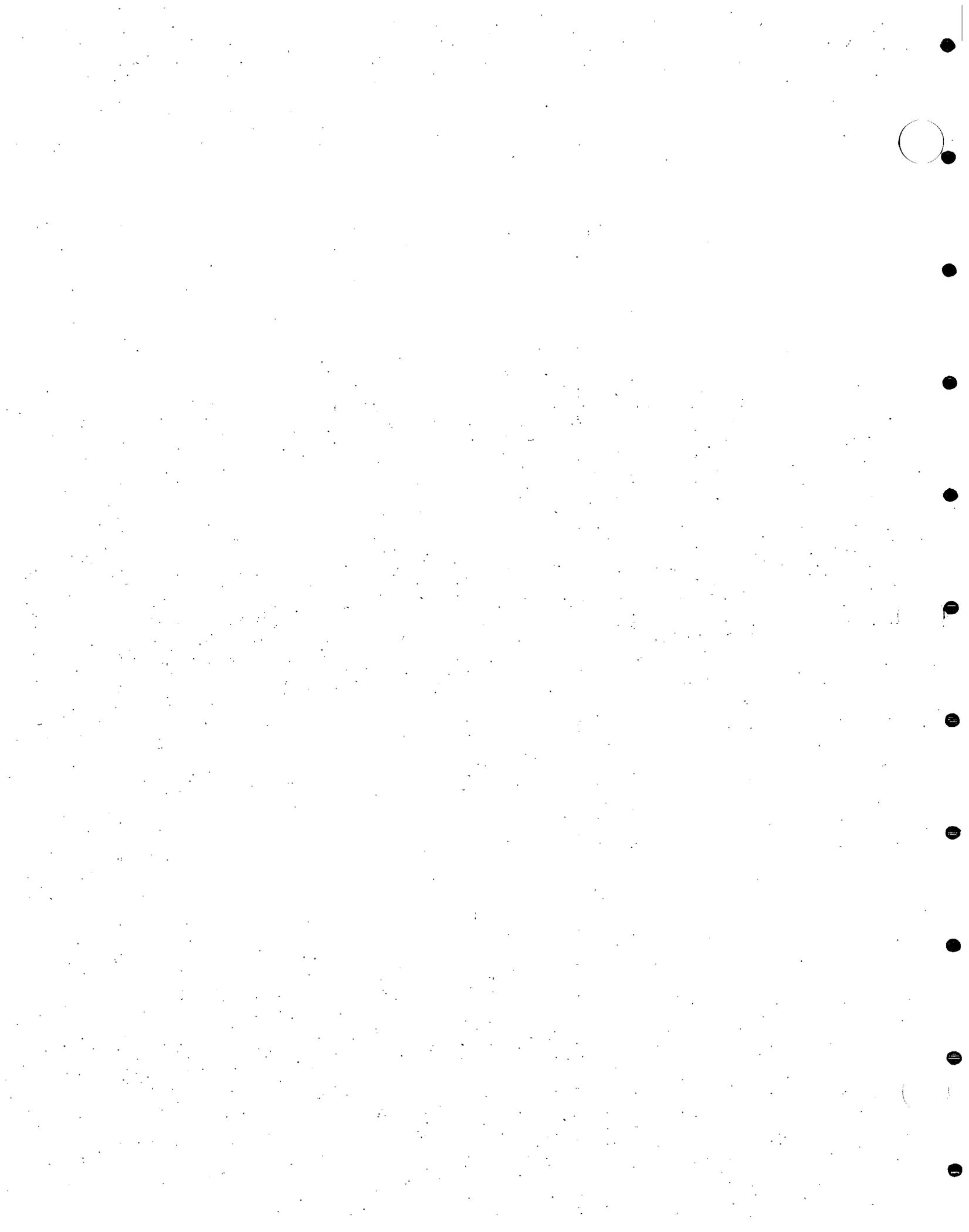
Resource Bibliography

A definitive bibliography in the area of planning would be thicker than the Participant Guide itself. However, several works are recommended below that provide an in-depth analysis of the issues that are presented in this module:

A. Managing Nonprofit Organizations, edited by Diane Borst and Patrick J. Montana, contains 15 articles on the application of planning techniques in the public sector. It is published by AMACOM (1977), 135 W. 50th Street, New York, New York 10020.

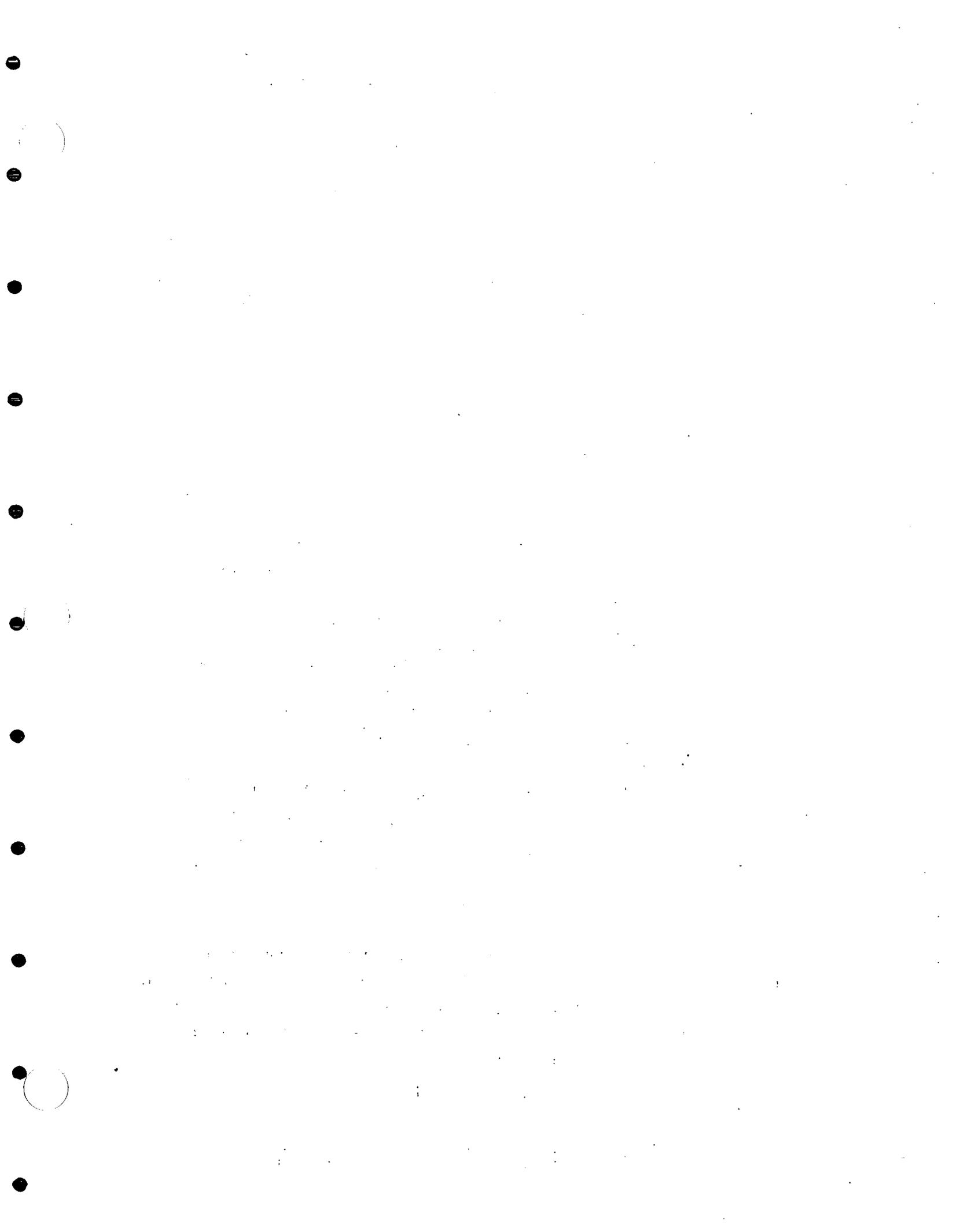
B. Planning, Programming, Budgeting: A Systems Approach to Management, edited by Fremont Lyden and Ernest Miller, presents a comprehensive review of 19 articles on various planning and budgeting issues in the context of the public sector. Many of the articles deal with the political ramifications of attempts to implement a national planning/budgeting system such as the one presented in this course. This work is published by the Markham Publishing Company, Chicago, IL.

C. Chapters 3-7 of Changing State Budgeting, by S. Kenneth Howard, deal with fundamental issues underlying the implementation of national planning/budgeting systems. It is published by the Council of State Governments, Iron Works Pike, Lexington, KY 40511.



MODULE THREE

ORGANIZING AND IMPLEMENTING
CRIMINAL JUSTICE PROGRAMS
AND ACTIVITIES



MODULE THREE: ORGANIZING AND IMPLEMENTING CRIMINAL JUSTICE
PROGRAMS AND ACTIVITIES

Module Overview

This Module examines the basic concepts required in properly organizing to implement criminal justice programs and activities. Special emphasis is placed on techniques and tools that can be used by criminal justice administrators in effectively organizing. These include MOR, Action Plans, PERT, CPA, and "Slack Time Analysis".

Learning Objectives

At the completion of this Module, the participant should be able to:

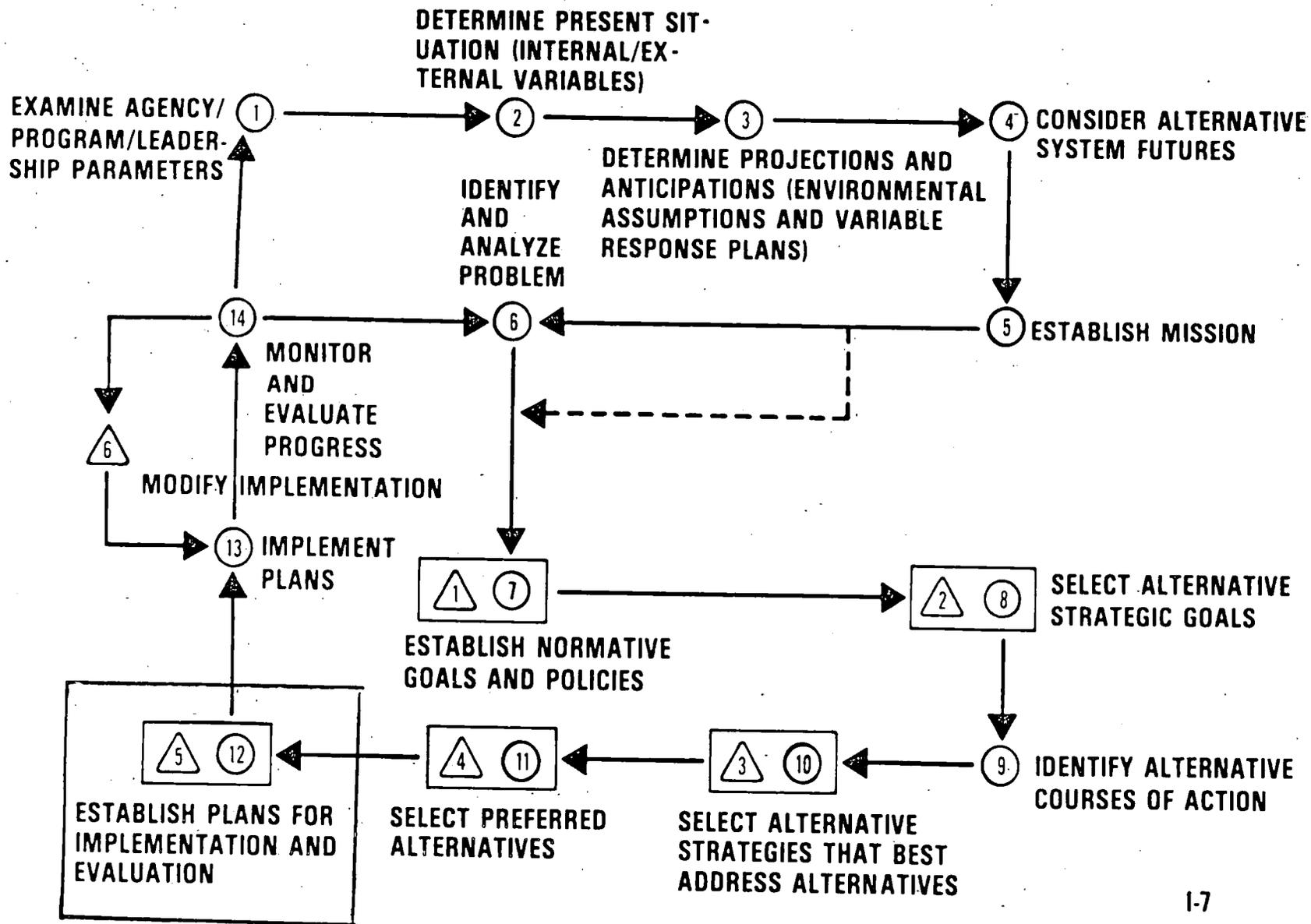
1. Identify and explain various concepts utilized in properly organizing criminal justice agencies and programs, including responsibility, authority, delegation and accountability.
2. Apply various organizing and implementation techniques to the management of criminal justice agencies, activities and programs, including Action Plans, PERT, CPA, and "Slack Time Analysis".

Description

This Module consists of the following components:

1. Lecture
2. Desk exercises
3. Group exercises

MANAGEMENT PROCESS



III-2

This Module addresses the aspect(s) of the Management Process Chart that is (are) highlighted.

I. THE ROLE OF ORGANIZING IN THE
MANAGEMENT OF CRIMINAL JUSTICE
AGENCIES, ACTIVITIES AND PROGRAMS

A. Relationship to Planning and
Controlling

Organizing: Establishing a
framework in which the results developed
during planning can be achieved.

B. Organizing and Results

o Organizing is guided by the
desired results that are chosen.

o Often becomes an end in
itself.

C. Relationship of Organizing to
Various Roles of the Criminal
Justice Administrator

1. Director of an Organiza-
tional Unit

The focus of organizing here
is to create an organizational framework
and environment best equipped to achieve
agency objectives.

2. Manager of Programs

The focus of organizing here
is to develop a capacity in other agencies
in the criminal justice system to success-
fully implement programs and projects.

3. Leader in the Criminal
Justice System

The focus of organizing
here is to bring together the profession-
al groups, constituencies, etc. required
to achieve the objective of contributing
to substantive change in the criminal
justice system.

D. Summary

Importance of flexibility in successfully organizing in each of the three roles.

II. BASIC CONCEPTS IN ORGANIZING CRIMINAL JUSTICE AGENCIES, PROGRAMS AND ACTIVITIES

A. Responsibility: an obligation to perform a task that is necessary to achieve an organizational program or individual objectives.

B. Authority: the power of an individual to carry out responsibilities.

C. Delegation: the process by which a manager assigns responsibilities to subordinates or by which team members allocate responsibilities and authority within their groups.

D. Accountability: the obligation of the person to whom authority has been delegated to use that authority to perform the intended responsibilities.

E. Conclusion

The degree to which responsibility, authority, delegation and accountability are incorporated into the organizing responsibility will determine how well the resources available are utilized in attaining objectives.

III. APPLYING ORGANIZING TECHNIQUES TO MANAGING CRIMINAL JUSTICE AGENCIES, PROGRAMS AND ACTIVITIES

A. The "Action Plan" - Visual 3-2

The process of developing the action plan addresses all four of the key

ACTION PLAN

STRATEGIC
ELEMENT:

MANAGER:

RESPONSIBILITY	INDIVIDUAL ACCOUNTABLE	PROJECTED START	PROJECTED COMPLETION	VERIFICATION
1.				
2.				
3.				
4.				
5.				
6.				
7.				
8.				
9.				
10.				

S-III

concepts in organizing:

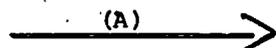
1. It defines responsibility
2. It delegates authority
3. It creates accountability

B. Program Evaluation and Review Technique (PERT)

Helps administrators establish the relationships between and among activities (responsibilities).

1. Three Basic Components:

- a. Activities shown as



- b. Events shown as (6)



- c. Time shown as $te = y$

Time calculated using formula

$$te = \frac{a + 4b + c}{6}, \text{ where}$$

te = Time estimate

a = Optimistic time

(activity complete if everything goes well)

b = Most likely time

(time shown in Action Plan)

c = Pessimistic time

(time if plan goes awry)

- d. Describes relationship

between activities in an element and their sequence.

2. Summary

Once completed, a PERT Chart provides the criminal justice

PERT CHART EVENTS

PROGRAM ELEMENT: BY JULY 1, 1980, OPEN A COMMUNITY-BASED TREATMENT FACILITY
FOR YOUTHFUL OFFENDERS IN GOTHAM CITY

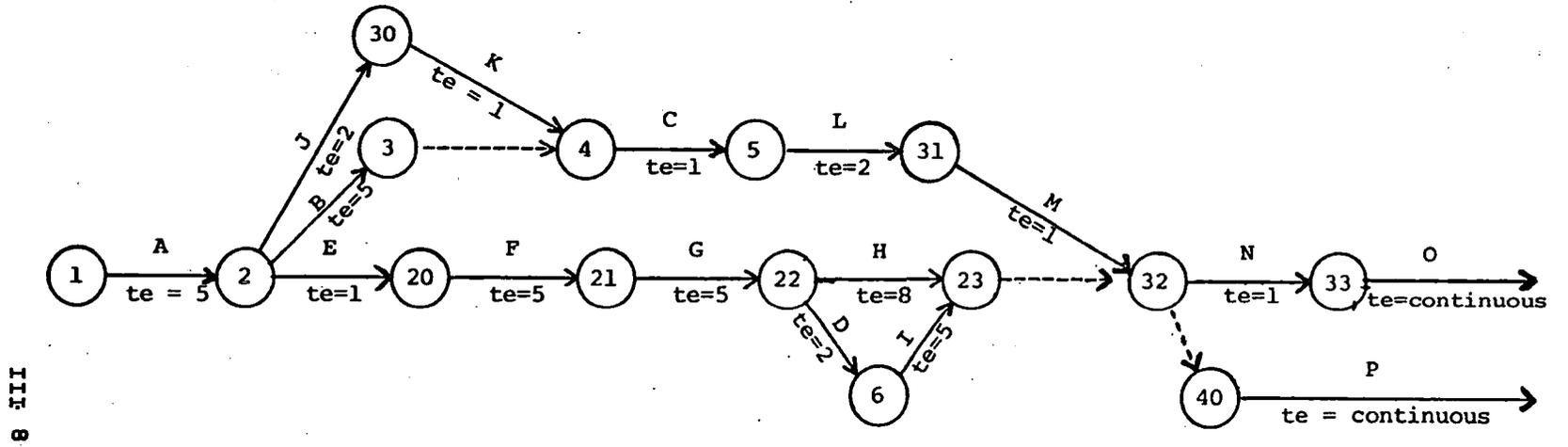
MANAGER: TOM JACKSON

RESPONSIBILITY	INDIVIDUAL ACCOUNTABLE	PROJECTED START	PROJECTED COMPLETION	VERIFICATION
1. Select Director	1. Tom Jackson			1. Signed contract
2. Secure building to house facility	2. Director			2. Signed lease
3. Select staff	3. Director			3. Signed contracts
4. Select residents	4. Director			4. List of residents
5. Train staff	5. Director			5. Memo verifying course completion
6. Purchase supplies, equipment, furnishings, beds, etc.	6. Director			6. Purchase orders
7. Open facility	7. Director			

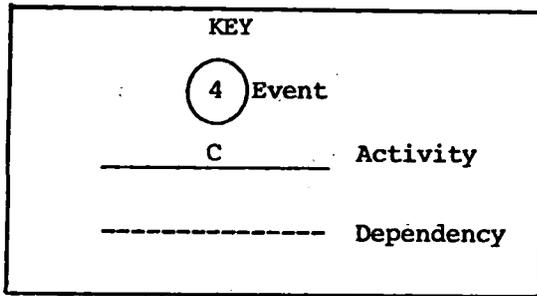
L-III
7

PERT CHART FOR COMMUNITY-BASED TREATMENT FACILITY

EXHIBIT 3-2



8 III



PERT CHART FOR COMMUNITY-BASED TREATMENT FACILITY

EXHIBIT 3-2

18-III

<u>KEY EVENTS</u>	<u>ACTIVITIES</u>	<u>TIME ESTIMATE (te)</u>
1. Funding approved	A. Search for and hire director	5
2. Director hired	B. Search for and hire treatment staff	5
(Staff)	C. Train treatment staff	1
3. Treatment staff hired	D. Search for and hire custodial staff	2
4. Begin training of treatment staff	E. Research and decide on criteria for selecting facility	1
5. Training of treatment staff completed	F. Search for appropriate facility and negotiate lease	5
6. Custodial staff hired	G. Identify needed furnishings and equipment	1
(Halfway House)	H. Price, order and receive furnishings and equipment	8
20. Development of facility criteria for halfway house completed	I. Prepare for and arrange furnishings and equipment	5
21. Halfway house lease signed	J. Research and decide on criteria for selecting residents	2
22. Assessment completed of needed furnishings and equipment for halfway house	K. Design information on selection criteria to be included in training	1
23. Furnishings and equipment received and installed	L. Treatment staff use selection criteria to select residents	2
30. Criteria established for selecting residents	M. Arrange transfers and transport new residents to facility	1
31. Residents selected	N. Set up work logistics and schedule adjustment training	1
32. Residents moved into facility	O. Bring in new residents as old leave	ongoing
33. Residents begin community job placement and community adjustment training	P. Arrange for initial clothing acquisition	ongoing as residents change
40. Begin acquisition of clothing for residents		



administrator with a clear picture of when and in what sequence the activities required to implement an element will take place.

CASE STUDY EPISODE SIX: DEVELOPING AN IMPLEMENTATION PLAN (INDIVIDUAL EXERCISE)

C. Critical Path Analysis (CPA)

1. The Critical Path

- Definition: The longest sequence of events in a PERT Chart.

- Knowing critical path

can:

- Establish longest

sequence

- Establish shortest

time

- Identify key control

points

- Helps determine where delays cannot be tolerated

2. Critical Path and Slack

Time

- Definition of Slack

Time: The amount of leeway in scheduling activities.

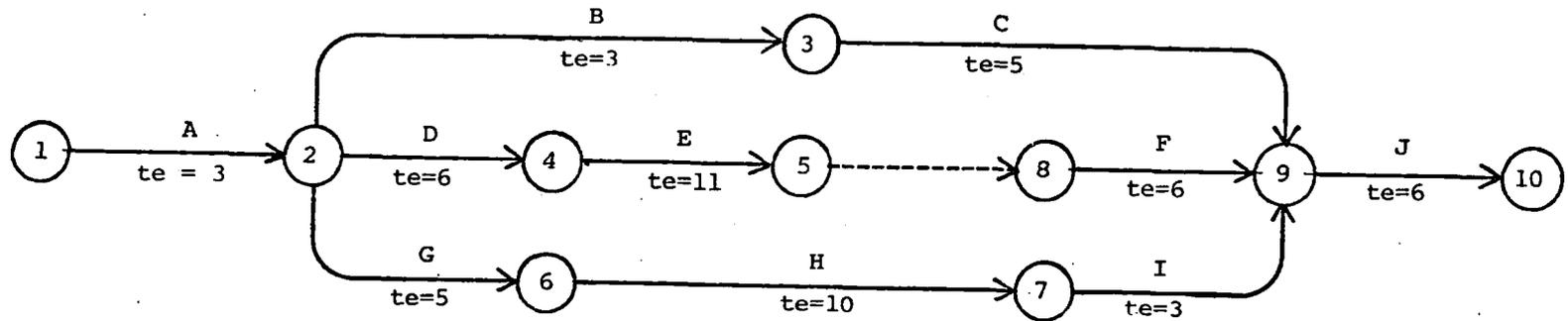
1. Identifies where slippage may occur.

2. Calculating Slack

Time

CRITICAL PATH ANALYSIS FOR COMMUNITY-BASED TREATMENT FACILITY

EXHIBIT 3-3



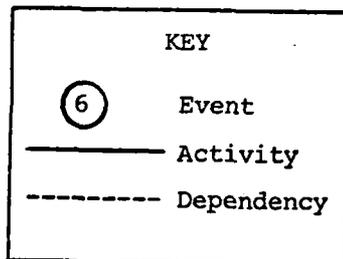
ACTIVITIES

TIME ESTIMATES

OF-III

A	Screen and interview candidates for Director position	3
B	Screen and interview applicants for staff positions	3
C	Train staff	5
D	Examine requirements for halfway house facility	6
E	Search for facility to serve as halfway house	11
F	Requisition furnishings, supplies, and equipment	6
G	Review possible alternative criteria for potential residents	5
H	Screen potential residents	10
I	Requisition clothing, etc. for residents	3
J	Conduct community adjustment training	6

LIST OF KEY EVENTS



- | | |
|--|--|
| 1. Funding approved | 6. Criteria for residents established |
| 2. Director hired | 7. Residents selected |
| 3. Staff hired | 8. Custodians hired |
| 4. Criteria for halfway house facility established | 9. Halfway house opened |
| 5. Lease for halfway house signed | 10. Residents begin community jobs or training program |

Slack Time for Activity

$A = T_L - T_E$, where,

T_L = Latest Allowable

Time an activity can be completed

T_E = Earliest Possible

Time an activity can be completed

3. Calculating Slack Time:

Individual Exercise

4. T_L as a Budgetary Tool

T_L can be invaluable in preparing and analyzing budgets.

CASE STUDY EPISODE SEVEN: LAT AND
CUTBACK MANAGEMENT (GROUP EXERCISE)

D. Application of Organizing Tech-
niques to the Three Roles of
the Criminal Justice Adminis-
trator

1. Director of an Organiza-
tional Unit
2. Manager of Programs
3. Leader in the Criminal
Justice System

The importance of action plans, PERT and CPA charts to all three roles should be understood. When applicable, they should be used regardless of the role.

E. Conclusion

Calculating Slack Time: An Individual Exercise

Instructions

Refer to Exhibit 3-3 "Critical Path Analysis for Community-based Treatment Facility."

Using the information provided in this PERT Chart, calculate the slack times for the events shown in the table below. Note that the blanks have already been completed for Event 3 as per class discussion.

You have twenty minutes to complete this exercise.

<u>Event</u>	<u>Latest Allowable Time (T_L)</u>	<u>Earliest Possible Time (T_E)</u>	<u>Slack Time ($T_L - T_E$)</u>
1.			
2.			
3.	21	6	15
4.			
5.			
6.			
7.			
8.			
9.			
10.			

IV. CONCLUSION

A. "Organizing" is different from "organization."

B. Four basic concepts in organizing

1. Responsibility

2. Authority

3. Delegation

4. Accountability

C. Action Plans

D. PERT and CPA

E. Organizing builds on Planning and sets the stage for Controlling.

MODULE THREE TEXT

Throughout the Course it is emphasized time and again that none of the management responsibilities exists in a vacuum, detached from the other two. Therefore, it is difficult to select articles that deal strictly with one management responsibility. Consequently, many of the books and articles cited in the previous module deal with topics in the organizing area. This is especially true in the articles that deal with the implementation aspects of rational budgeting systems. The articles and books cited below were selected for this module's text because they emphasize topics in the organizing area, not because they necessarily deal exclusively with this topic or its components.

The three articles for this module deal with two topics covered in the module. The first (Mitra) deals with PERT and its relationship to other management techniques. The second two (Stumm, Killian) deal with the principle of delegation and techniques for doing it successfully.

Annotated Bibliography

1. Title: Organizational Decline and Cutback Management
Author: Charles Levine
Source: Public Administration Review, July-August, 1978, pp. 316-324

This article examines the crucial issue of "cutbacks" in the operation of government agencies. It describes the internal and external factors that cause governmental agencies to decline, and offers tactics for either resisting organizational decline or making the decline go more smoothly.

2. Title: More on Cutback Management: Hard Questions for Hard Times
Author: Charles H. Levine
Source: Public Administration Review, March-April, 1979, pp. 179-183

This article examines the unique problems and paradoxes public sector managers confront when trying to cut back. The author also addresses the strategic decisions an administrator must make concerning cutbacks, including such issues as deep gouge on small decrements, efficiency or equity, etc.

3. Title: Management Strategies to Deal with Shrinking Resources
Author: John J. McTighe
Source: Public Administration Review, January-February, 1979, pp. 86-90

This excellent article describes the salient factors a manager must consider when developing strategies to cut back agency or program activities. The author presents a series of "checklists" for each factor to assist managers in properly addressing this key issue. (Note the close relationship between these factors and those addressed in the "Situation Analysis.")

4. Title: Symposium on Management by Objectives in the Public Sector
Author: Jong S. Jun, Symposium Editor
Source: Public Administration Review, January-February, 1976, pp. 1-45

The basic management approach presented in this course is a modified Management by Objectives (MBO) system. These symposium articles, by such management authorities as Peter Drucker and George Odcoine, provide both the historical background of MBO and how MBO can be used successfully in the public sector. Many of the articles are "implementation" oriented, and deal with the practical aspects of making MBO really work in the public sector. This article is excellent background reading for all criminal justice administrators.

5. Title: Policing by Objectives - A Handbook for Improving Police Management-Draft
Author: V.A. Lubans, J.M. Edgar and R.F. Dart
Source: Social Development Corporation, 1977, p. 128

This work provides an interesting look at how Management by Objectives (MBO) can be modified to work in a law enforcement setting. Excellent information is included for criminal justice administrators to use in technical assistance efforts with law enforcement agencies. Policing by objectives (PBO) is used to describe a systematic method of managing police organizations more effectively and with better results. Based on a process designed primarily for use in business and industry, PBO has been extensively modified to take into account the extraordinary management problems inherent in the police enterprise. The typical problems which beset the police manager -- little control over the demand for the types, timing, or frequency of services, results which are not easily measured, budget decisions which are often made outside the police department -- are problems with which a business-oriented system of management is incapable of dealing. PBO, on the other hand, acknowledges these and the many other special difficulties which characterize the distinctive world of police management. Implementation issues and the difficulties in successfully "organizing" are addressed.

6. Title: PERT for CAA Planning, Vol. II
Author: Policy Management Systems, Inc. (Pursuant to a contract with the U.S. Office of Economic Opportunity)
Source: U.S. Government Printing Office, Washington, D.C.

This programmed text provides excellent instruction in the application of Performance Evaluation and Review Technique (PERT) to organizing and controlling programs and activities in the public sector. This represents a valuable resource document for practitioners interested in PERT. Concepts from this work were incorporated into this course.

Resource Bibliography

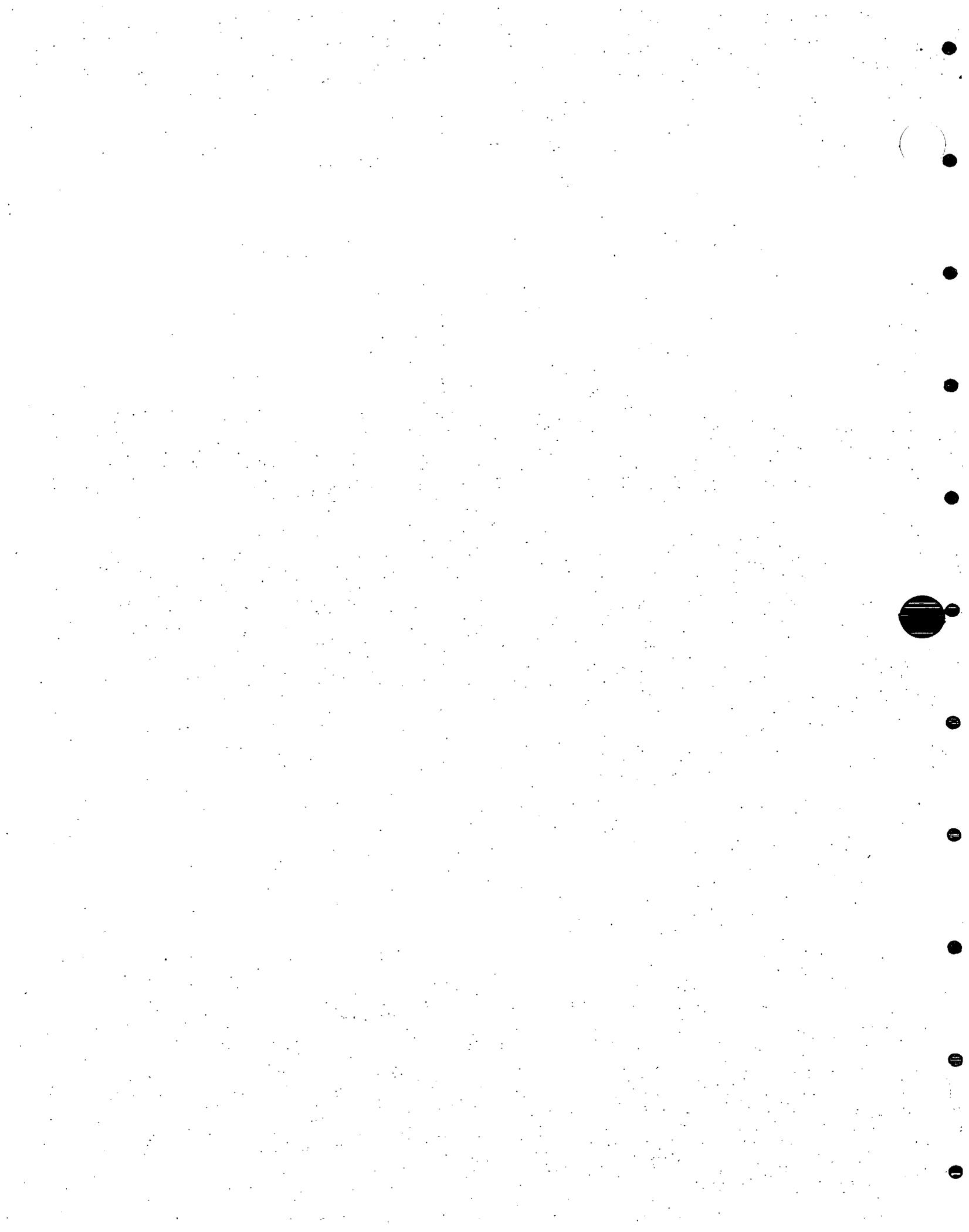
The approach to organizing taken in this course deals primarily with topics that are generally included in the literature on "operational planning" and "project management". As indicated in the introduction to this module's text, the articles and books cited in Module Two dealing with rational budgeting systems include discussions of the types of operational planning addressed in this course. It should again be noted that this module also reflects concepts covered in other CJTC Courses. The materials from both the Planning and Program Development Courses can provide valuable additional information in this topical area.

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MODULE FOUR

CONTROLLING



MODULE FOUR: CONTROLLING

Module Overview

This Module presents techniques and strategies for controlling programs, activities and subordinates. Various program and project control techniques are explained, including PERT, CPA, Action Plans, MOR, and other products of evaluation. Techniques for controlling employees are also presented, including standards of performance, motivation and communication. Also discussed are approaches the criminal justice administrator can employ to maintain "self control", including techniques for dealing with stress.

Learning Objectives

At the completion of this module, the participant should be able to:

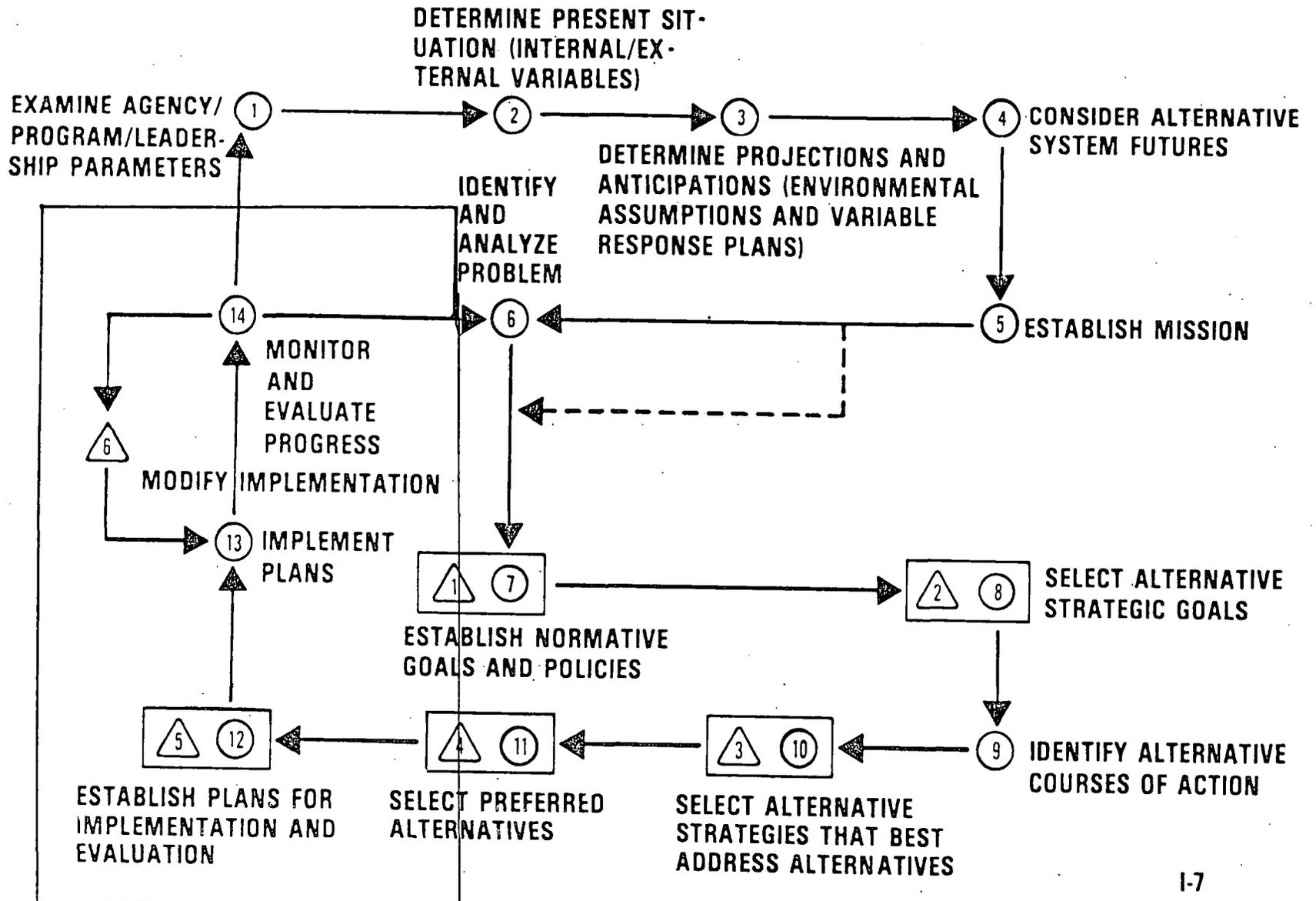
1. Identify first- and second-category controls and explain how they can be used by criminal justice managers in carrying out their various roles.
2. Apply various techniques to the control of activities in criminal justice agencies and programs, including PERT, CPA, Action Plans, Method of Rationales, and Evaluation products.
3. Apply various techniques in insuring the productivity of individual employees within a criminal justice agency, including defining, developing and using standards of performance, and conducting an employee performance appraisal process, effective motivation and communication.
4. Employ various "self-control" techniques, including techniques to manage stress and time.

Description

This Module consists of:

1. Lecture
2. Desk exercise

MANAGEMENT PROCESS



IV-3

This Module addresses the aspect(s) of the Management Process Chart that is (are) highlighted.

I. THE ROLE OF CONTROLLING IN THE
MANAGEMENT OF CRIMINAL JUSTICE
AGENCIES, ACTIVITIES AND PROGRAMS

A. Relationship to Planning and
Organizing

Controlling: Insuring that the
results established during planning are
achieved to the greatest extent possible.

B. Relationship to the Various
Roles of the Criminal Justice
Administrator

o As the criminal justice
administrator performs each of the three
roles, he or she fulfills the control
responsibility in two ways: as a manager
of the control process, and as a control
"agent."

II. TYPES OF CONTROLS

A. First-Category Controls

o All the conditions esta-
blished during planning and organizing
phases that establish the "boundaries"
within which the organization or program
will operate.

1. Planning Controls

o The most powerful first-
category control developed during the
planning phase is the objective. The

objective represents the "bottom line."

- o The Budget

2. Organizing Controls

- o Action Plans, PERT, CPA

are useful as both first-category controls and second-category controls

B. Second-Category Controls

- o The measures used to determine how close to the boundaries established during planning and organizing the organization, program or individual has come.

- o Usually in the form of reports that describe both work in progress and completed work.

- o Should be:
 - Timely
 - Economical
 - Comprehensive

- o Concerned with the controlling of the "process" by which strategies are implemented, while first-category controls have a "product" orientation.

C. Summary

- o Types of Controls sets the stage for a discussion of the criminal justice administrator as a manager of the control responsibility.

NOTES

III. MANAGER OF THE CONTROL
RESPONSIBILITY

The focus here is on how the criminal justice administrator can insure that the overall control process is conducted so as to contribute to optimum success in achieving organizational objectives.

A. Manager of Programs

● Evaluation is the foundation for the proper control of programs.

- Monitoring
- Process Evaluation
- Impact Assessment

● Monitoring focuses on inputs and activities (Visual 4-1)

- Monitoring should be more than an effort to see that activities are occurring in compliance with the "letter" of the plan. The emphasis must also be diagnostic.

- Importance of monitoring the environment.

● Process Evaluation is linked to results (Visual 4-2)

- Criteria to judge an evaluation plan:

NOTES

ELEMENT MONITORING AND MOR

TYPICAL QUESTIONS

- IS ELEMENT OPERATIONAL?
- IS IT ON SCHEDULE?
- IS IT CONSISTENT WITH PROPOSAL?
- DOES SCHEDULE NEED TO BE REVISED?
- DO STANDARDS FOR STAFF/EQUIPMENT NEED TO BE CHANGED?
- IS THERE EVIDENCE OF ANY SERIOUS PROBLEM IN ELEMENT MANAGEMENT/STAFFING?
- IS TA NEEDED?
- IS IT REASONABLE TO EXPECT ELEMENT TO BE SUCCESSFUL?
- ARE RESOURCES BEING USED AS INTENDED?
- ARE THEY ADEQUATE?

EARLIEST THAT DATA FOR ANSWERS LIKELY TO BE AVAILABLE

EARLY AND THROUGHOUT ELEMENT'S LIFE

FOCUS IS ON INPUTS AND ACTIVITIES

PROCESS EVALUATION AND MOR

TYPICAL QUESTIONS

ARE INPUTS/ACTIVITIES SUFFICIENT TO
PRODUCE DESIRED RESULTS?

DO CHANGES NEED TO BE MADE?
WHERE AND HOW MUCH?

HOW CAN ELEMENT BE MADE MORE
EFFICIENT? WHAT OPERATIONS/
PROCEDURES SHOULD BE CHANGED?
WHAT ELEMENT STRATEGIES/TECHNIQUES
SHOULD BE ADDED/DROPPED?

SHOULD ELEMENT BE CONTINUED?

HOW MUCH ARE VARIOUS ELEMENT
OPERATIONS COSTING?

EARLIEST THAT DATA
FOR ANSWERS LIKELY
TO BE AVAILABLE

MIDDLE OF ELEMENT LIFE

FOCUS IS ON ELEMENT RESULTS

-- Does it provide information useful in decision-making?

-- Will the outputs be useful in correcting a defective project?

-- Will the evaluation data be useful in deciding whether or not an activity should be continued?

• Key events are essential to all three types of evaluation. Key events can occur through the life of the project and are the important occurrences that should take place --

- If the inputs are properly put into place to produce the intended activities;

- If the activities produce the intended results; and

- If the results lead to the intended impact.

Key events must have established success criteria and these criteria must be measurable.

Example: By June 30, 1980,
were eight counselors hired who had at least
a masters degree in guidance and counseling?

- Impact Assessment is linked
to outcomes (Visual 4-3)

- Uses of information gained
through the control processes:

- Data from Element
Monitoring and Process Evaluation
 - To expand a project
that is working
 - To correct a project
that isn't working
 - To discontinue a pro-
ject

- Data From Impact
Assessment
 - Helps the manager deter-
mine questions related to future planning.

- Summary
 - Provides information
during the decision-making process.

IMPACT ASSESSMENT AND MOR

TYPICAL QUESTIONS TO BE ANSWERED

- DID ELEMENT ACCOMPLISH OBJECTIVES?
- WHAT EFFECT DID ELEMENT HAVE ON
BROADER LE/CJ SYSTEM?
- SHOULD A SIMILAR ELEMENT BE INSTI-
TUTED ELSEWHERE?
- HOW DOES ELEMENT APPROACH COMPARE
WITH OTHER STRATEGIES?
- DID ELEMENT RESULTS CONFIRM ITS
UNDERLYING THEORY OR ADD TO THE
BODY OF KNOWLEDGE?
- SHOULD ELEMENT BE INSTITUTIONALIZED?
- WHAT BENEFITS WERE RECIEVED AT WHAT COST?

EARLIEST THAT DATA FOR ANSWERS LIKELY TO BE AVAILABLE

INITIAL INFORMATION EARLY
IN ELEMENT, SUBSTANTIVE
INFORMATION FROM MIDDLE
THROUGH LIFE OF ELEMENT
AND BEYOND.

FOCUS IS ON ELEMENT OUTCOMES

ACTION PLAN AND STANDARDS OF PERFORMANCE

STRATEGY: BY JULY 1, 1980, OPEN A HALFWAY HOUSE FOR
JUVENILES IN MERION TOWNSHIP

MANAGER: TOM JACKSON

RESPONSIBILITY	INDIVIDUAL ACCOUNTABLE	PROJECTED START	PROJECTED COMPLETION	VERIFICATION
1. Secure a suitable building to house the facility	1. Jeff Poole	1. 10/1/79	1. 2/1/80	1. Signed lease
2. Purchase supplies, equipment, furnishings, etc., for facility	2. Sally Dawson	2. 2/15/80	2. 5/1/80	1. Purchase orders
3. Move supplies, equipment, etc., into facility	3. Jeff Poole	3. 5/15/80	3. 6/1/80	3. Memo
4. Select Director	4. Tom Jackson	4. 11/15/79	4. 2/15/80	4. Signed Contract
5. Select Staff	5. Director	5. 3/1/80	5. 5/1/80	5. Signed contracts
6. Train Staff	6. Director	6. 5/15/80	6. 6/1/80	6. Memo verifying conduct of course
7. Select residents	7. Director	6. 6/1/80	7. 6/20/80	7. List of residents
8. Open facility	8. Director	8. 7/1/80	8. 7/1/80	8. Memo verifying opening

TV-14

4. Not necessarily a favorite task, but potentially rewarding in terms of impact on organization.

NOTES

V. INTERNAL CONTROLS

o Importance of internal controls vs. external controls.

VI. MOTIVATION AND COMMUNICATION

How to motivate and communicate with individuals depends on the type of individual with whom you are dealing:

A. Type A: The Rugged Individualist

o Hard-driving, tough, fair, self-demanding

o Impatient, outspoken, self-seeking, not a team player

B. Type B: The Corporate King or Queenpin

o Assertive, self-sufficient, self-confident, great force of character

o Self-centered, dislikes detail, unconcerned about others

C. Type C: The Student Body President

- Optimistic, assumes responsibility, admired, interested in and gets things done through others

- Overly optimistic and self-confident, terrible with details, too bossy and controlling

D. Type D: The Benevolent Counselor

- Considerate, firm in own convictions, unselfish, friendly, respects others

- Ineffective under pressure, not demanding enough, overly protective

E. Type E: The Team Player

- Cooperative, poised, friendly, seeks others' approval

- Easily exploited, ineffective under pressure, a talker rather than a doer

F. Type F: The Company Person

- Conservative, deliberate, steady, appreciative, eager to please.

- Gullible, too dependent and sensitive, lets others make decisions

G. Type G: The Perfectionist

- Accurate, persistent, modest, dislikes conflict

- At-times indecisive, shy, may lack self-confidence, unwilling to interact with others

H. Type H: The Hard-Driving Skeptic

- Detail-person, hard worker, achiever, has high standards

- Hard to impress, finds it hard to make decisions, projects gloomy attitude, uncomfortable interacting with and managing others

VII. STRESS MANAGEMENT

NOTES

A. Introduction

- Stress is "the body's non-specific response to any demand placed on it."

- Two types of individual response styles to stress:

- "Racehorses"

- "Turtles"

- Three major sources of stress:

- Stress brought on by major changes

- Everyday environmental stressors

- Internal stressors

B. Internal Stressors

- Dependent on type of individual ("racehorse" or "turtle")

- Difference between one's own perception of him/herself and how others perceive him/her

C. Stress Brought on by Major Changes

1. "Schedule of Recent Experiences" and the "Social Readjustment Rating Scale" (Exhibit 4-2)

THE SOCIAL READJUSTMENT RATING SCALE*

Life Event	Mean Value
1. Death of spouse	100
2. Divorce	73
3. Marital separation from mate	65
4. Detention in jail or other institution	63
5. Death of a close family member	63
6. Major personal injury or illness	53
7. Marriage	50
8. Being fired at work	47
9. Marital reconciliation with mate	45
10. Retirement from work	45
11. Major change in the health or behavior of a family member	44
12. Pregnancy	40
13. Sexual difficulties	39
14. Gaining a new family member (e.g., through birth, adoption, oldster moving in, etc.)	39
15. Major business readjustment (e.g., merger, reorganization, bankruptcy, etc.)	39
16. Major change in financial state (e.g., a lot worse off or a lot better off than usual)	38
17. Death of a close friend	37
18. Changing to a different line of work	36
19. Major change in the number of arguments with spouse (e.g., either a lot more or a lot less than usual regarding child-rearing, personal habits, etc.)	35
20. Taking on a mortgage greater than \$10,000 (e.g., purchasing a home, business, etc.)	31

* From Holmes, T.H. and Rahe, R.H.: The Social Readjustment Rating Scale. Journal of Psychosomatic Research 11:213-218 1967

Life Event	Mean Value
21. Foreclosure on a mortgage or loan	30
22. Major change in responsibilities at work. (e.g., promotion, demotion, lateral transfer)	29
23. Son or daughter leaving home (e.g., marriage, attending college, etc.)	29
24. In-law troubles	29
25. Outstanding personal achievement	28
26. Wife beginning or ceasing work outside the home	26
27. Beginning or ceasing formal schooling	26
28. Major change in living conditions (e.g., build- ing a new home, remodeling, deterioration of home or neighborhood)	25
29. Revision of personal habits (dress, manners, associations, etc.)	24
30. Troubles with the boss	23
31. Major change in working hours or conditions	20
32. Change in residence	20
33. Changing to a new school	20
34. Major change in usual type and/or amount of recreation	19
35. Major change in church activities (e.g., a lot more or a lot less than usual)	19
36. Major change in social activities (e.g., clubs, dancing, movies, visiting, etc.)	18
37. Taking on a mortgage or loan less than \$10,000 (e.g., purchasing a car, TV, freezer, etc.)	17
38. Major change in sleeping habits (a lot more or a lot less sleep, or change in part of day when asleep)	16
39. Major change in number of family get-togethers (e.g., a lot more or a lot less than usual)	15

Life Event	Mean Value
40. Major change in eating habits (a lot more or a lot less food intake, or very different meal hours or surroundings)	15
41. Vacation	13
42. Christmas	12
43. Minor violations of the law (e.g., traffic tickets, jaywalking, disturbing the peace, etc.)	11

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2. Coping with Major Changes
Five stages:

- a. Denial
- b. Anger
- c. Bargaining
- d. Depression
- e. Acceptance

3. Response of Criminal Justice
Administrator to Employees Undergoing
Change

- a. Be sensitive to changes
employees face
- b. Understand and deal with
the five stages

4. The Criminal Justice
Administrator and Stress from Major Changes
--i.e., his/her own

D. Everyday Stressors

- o Weiman's study
- o "Questions Regarding Every-
day Stressors" (Exhibit 4-3)
- o Dealing with everyday
stressors

E. Early Warning Signals of Stress

QUESTIONS REGARDING EVERYDAY STRESSORS

1. How often do you feel that you have too little authority to carry out your responsibilities?
2. How often do you feel unclear about just what the scope and responsibilities of your job are?
3. How often do you not know what opportunities for advancement or promotion exist for you?
4. How often do you feel that you have too heavy a work load, one that you could not possibly finish during an ordinary working day?
5. How often do you think that you will not be able to satisfy the conflicting demands of various people around you?
6. How often do you feel that you are not fully qualified to handle your job?
7. How often do you not know what your superior thinks of you, how he or she evaluates your performance?
8. How often do you find yourself unable to get information needed to carry out your job?
9. How often do you worry about decisions that affect the lives of people you know?
10. How often do you feel unable to influence your immediate supervisor's decisions and actions that affect you?
11. How often do you feel that you may not be liked and accepted by people at work?
12. How often do you not know just what the people you work with expect of you?
13. How often do you feel that you have to do things on the job that are against your better judgment?
14. How often do you think that the amount of work you have to do may interfere with how well it is done?
15. How often do you feel that your job interferes with your family life?

CASE STUDY EPISODE EIGHT: COPING WITH
STRESS AS A CRIMINAL JUSTICE ADMINISTRATOR
(INDIVIDUAL EXERCISE)

Techniques for Alleviating Stress

VIII. MANAGING TIME TO REDUCE STRESS

- Time is a manager's most precious resource. The inability to control time is a great source of stress.

A. Some Basic Principles of Time Management

1. List objectives and major activities
2. Prioritize objectives and main activities
3. Delegate when possible
4. Allocate time according to remaining priorities

B. Application to Individual Roles of Criminal Justice Administrator

1. Make a combined list of objectives for all three roles
2. Prioritize by using ABC system
 - A = Most important objectives
 - B = Medium important objectives
 - C = Least important objectives
3. Delegate when possible
4. Allocate time according to remaining priorities

C. Use of Time in Selecting the Role "Mix"

NOTES

IX. ANALYZING POTENTIAL ROLE IMPACTS:
DISTINGUISHING PROCESS FROM PRODUCT

A. Successful Leadership vs. Unsuccessful Leadership

o Successful Leadership occurs when the individual or group adopts the administrator's course

o Unsuccessful Leadership occurs when the individual or group rejects the administrator's course

B. Effective Leadership vs. Ineffective Leadership

o Effective Leadership occurs when the adopted course(s) of action will result in achievement of the desired objective(s)

o Ineffective Leadership occurs when the adopted course(s) of action will not result in achievement of the desired objective(s)

X. MODULE CONCLUSION

A. Controlling is final management effortB. Key Points

1. Controlling is probably most difficult management responsibility

2. Two basic types of controls:

- First Category
- Second Category

3. Evaluation is a key in effective controlling

4. Evaluation must go beyond compliance

5. Three types of evaluation:

- Monitoring
- Process Evaluation
- Impact Assessment

6. Standards of Performance

7. Internal controls as most effective controls

8. Importance of well-thought-out motivation and communication plans

9. Stress Management

XI. COURSE CONCLUSION

A. Module One

1. Three roles of criminal justice administrator

- Director of Organizational Unit
- Manager of Programs
- Leader in Criminal Justice System

Justice System

2. Three management responsibilities

- Planning
- Organizing
- Controlling

3. Types and sources of power

B. Module Two

1. Three levels of Planning

- Normative
- Strategic
- Operational

2. Questions addressed in

Planning

- What should we do?

(Normative)

- What can we do?

(Strategic)

- What will we do?

(Operational)

3. Normative Planning

- Situation Analysis
- Establishing mission and

normative goals as focus

4. Strategic Planning

- Develop Alternative

Strategic Goals

- Select Alternative

Strategic Goals

- Identify Alternative

Course of Action

- Select Interim Strategies
- Select Elements
- Select Strategies
- Select Strategic Goals

5. Operational Planning

6. Change and Conflict

7. "Decision Packages"

C. Module Three

1. Interrelatedness of the three management responsibilities

2. Organizing based on results of planning

3. Four basic concepts in organizing

- Responsibility
- Authority
- Delegation
- Accountability

4. The Action Plan as an organizing tool

5. PERT, CPA, Slack Time and Budget Analysis as organizing tools

D. Module Four

1. Two distinct control functions

a. As manager of control process, criminal justice administrator oversees:

- Monitoring
- Process Evaluation
- Impact Assessment

b. As director of organizational unit, the criminal justice administrator acts as a control agent

- Performance appraisals

2. Importance of appropriate motivation and communication

3. Stress Management

4. Leadership Issues

E. Summary

NOTES

MODULE FOUR TEXT

Module Four deals with the two-fold role of the criminal justice administrator as manager of the control process and as "control agent". As was the case with organizing, many of the books and articles in the planning module, especially those dealing with PPBS, MBO and ZBB, cover extensively the control responsibility as it applies to the Management Process Chart. In this context, we again draw heavily on concepts developed in the Analysis Course, and participants are encouraged to explore the course materials that are included in this area if they desire additional information. The primary focus of the bibliographical materials will be in the area of "control agent".

The articles for this module deal primarily with the interpersonal aspects discussed in the context of the criminal justice administrator as "control agent".

Three articles are concerned with motivation. The first, "Some Lessons in Motivation," describes a common-sense approach to creating a motivating organizational environment. "More Discipline, Less Disciplinary Action" presents ideas about using positive motivation as a disciplinary tool. The final article, "12 ways to Wreck Employee Confidence," examines techniques guaranteed not to motivate subordinates.

Four other articles deal with performance appraisal. "Down with Performance Appraisals?" and "Performance Appraisal: Steer Clear of Booby Traps" examine many of the possible pitfalls inherent in the appraisal process and present techniques for addressing them. "The Art of Leveling with Subordinates About Their Performance" and "Making the Most of Counseling Sessions" describe methods for conducting the on-going appraisal process with subordinates.

"How to Get your Message Across" and "Memos that Get Things Moving" present practical tips that the criminal justice administrator can use to improve day-to-day communication practices. The final article, "Creative Use of Time," deals with effective time management techniques.

Annotated Bibliography

1. Title: Program Evaluation on a Shoestring Budget
Author: A. Beigel and A.I. Levenson
Source: Evaluation of Human Service Programs, 1978

Ideological and pragmatic problems facing human service programs without immediate access to adequate evaluation staff and funding are discussed, and low-cost evaluation strategies used by a mental health agency are described. One of the greatest problems confronting criminal justice administrators is attempting to evaluate with woefully inadequate resources. This work examines strategies for dealing with this problem.

2. Title: The Proverbs of Evaluation: Perspectives from a Criminal Justice Administrator's Experience
Author: Robert F. Clark
Source: Public Administration Review, November-December, 1979, pp. 562-565

This article explores various "proverbs", or "thou shalt", concerning evaluation and points out the potentially negative aspects of these "givens". Of special interest to criminal justice administrators will be the second proverb, which addresses the role of the program manager in the development and implementation of the evaluation effort.

3. Title: Performance Appraisal in Police Departments
Author: F.J. Landy
Source: Police Foundation, 1977, p. 125

This work provides in-depth information concerning the actual development and implementation of a standards of performance program in a criminal justice agency. The principles discussed in the presentation are made concrete by describing how the Dade County Public Safety Department, Dade County, Florida, approached a change in personnel evaluation systems. It is believed the Dade County experience can help personnel administrators in other law enforcement agencies better formulate an approach to their own unique situations. Traditional performance appraisals in police departments are criticized as too vague and unrelated to the performance objectives of the work required. The first step proposed is a remedy to conduct a job analysis that will determine the aspect of performance to be measured. Secondly, the behavior that will be used as an anchor to describe the various levels of performance for each performance category is determined. The third step involves criteria selection, which is the choice of items that will act as anchors for the final rating scales. The fourth and final step is the choice of a format for the performance appraisal. A performance appraisal system is viewed as a continuing process because organizations and situations change, as do the personnel who supervise them; continuing evaluation and modification of a

basically sound system are therefore suggested.

4. Title: Stress and the Public Administrator
Author: David E. Morrison, M.D.
Source: Public Administration Review, July-August, 1977 pp. 407-414

For most criminal justice administrators stress is almost a constant in their daily lives. In this article Dr. Morrison examines the probable causes and symptoms of such stress. Most importantly, however, he offers a set of concrete strategies criminal justice administrators can use to more successfully cope with stress.

5. Title: Motivational Theory
Author: Frank Goble
Source: AMA Excellence in Leadership, 1972

This article presents an in-depth analysis of Maslow's Hierarchy of Needs, from which the author suggests a "revised" hierarchy.

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